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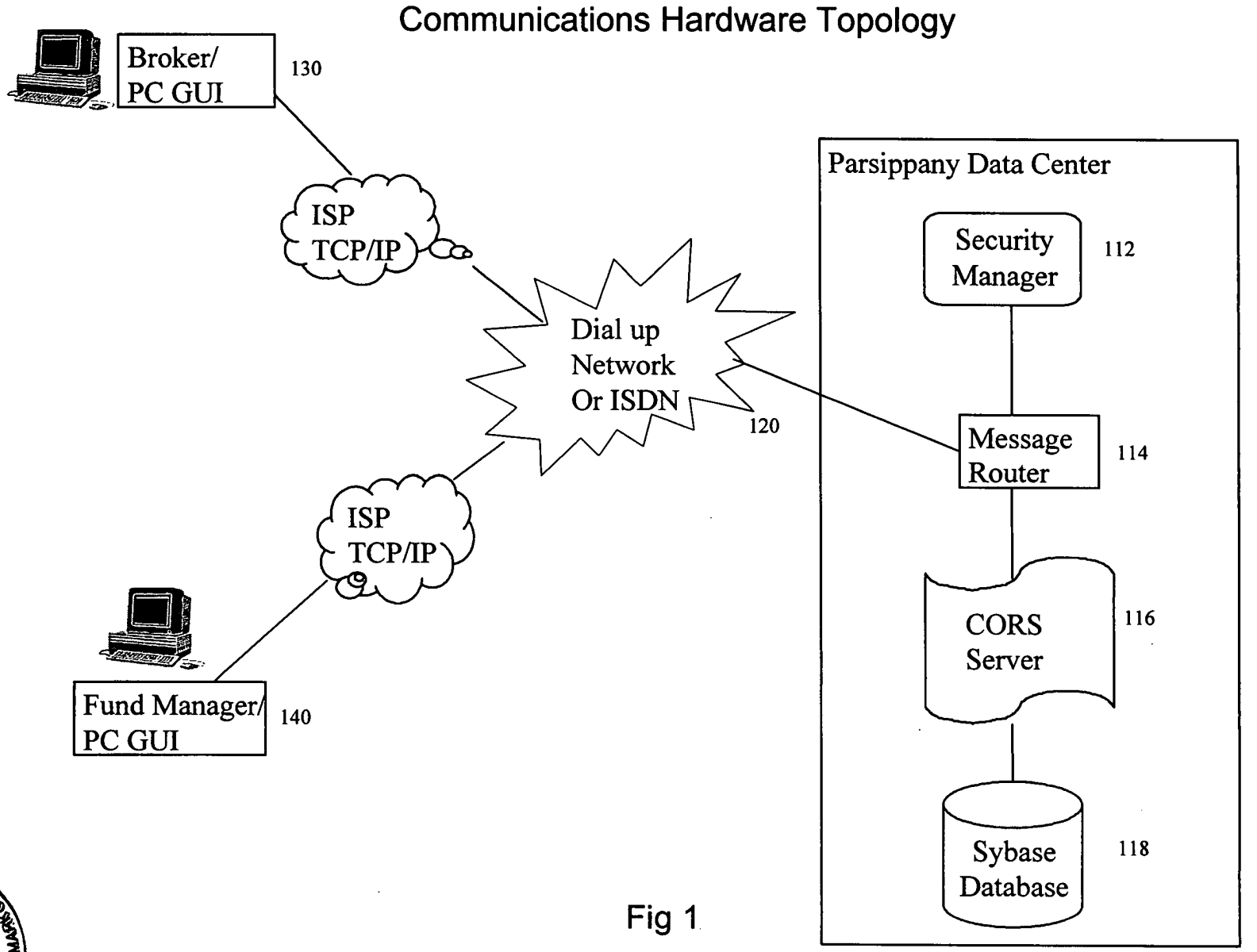


Fig 1

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System Process – Phase 1

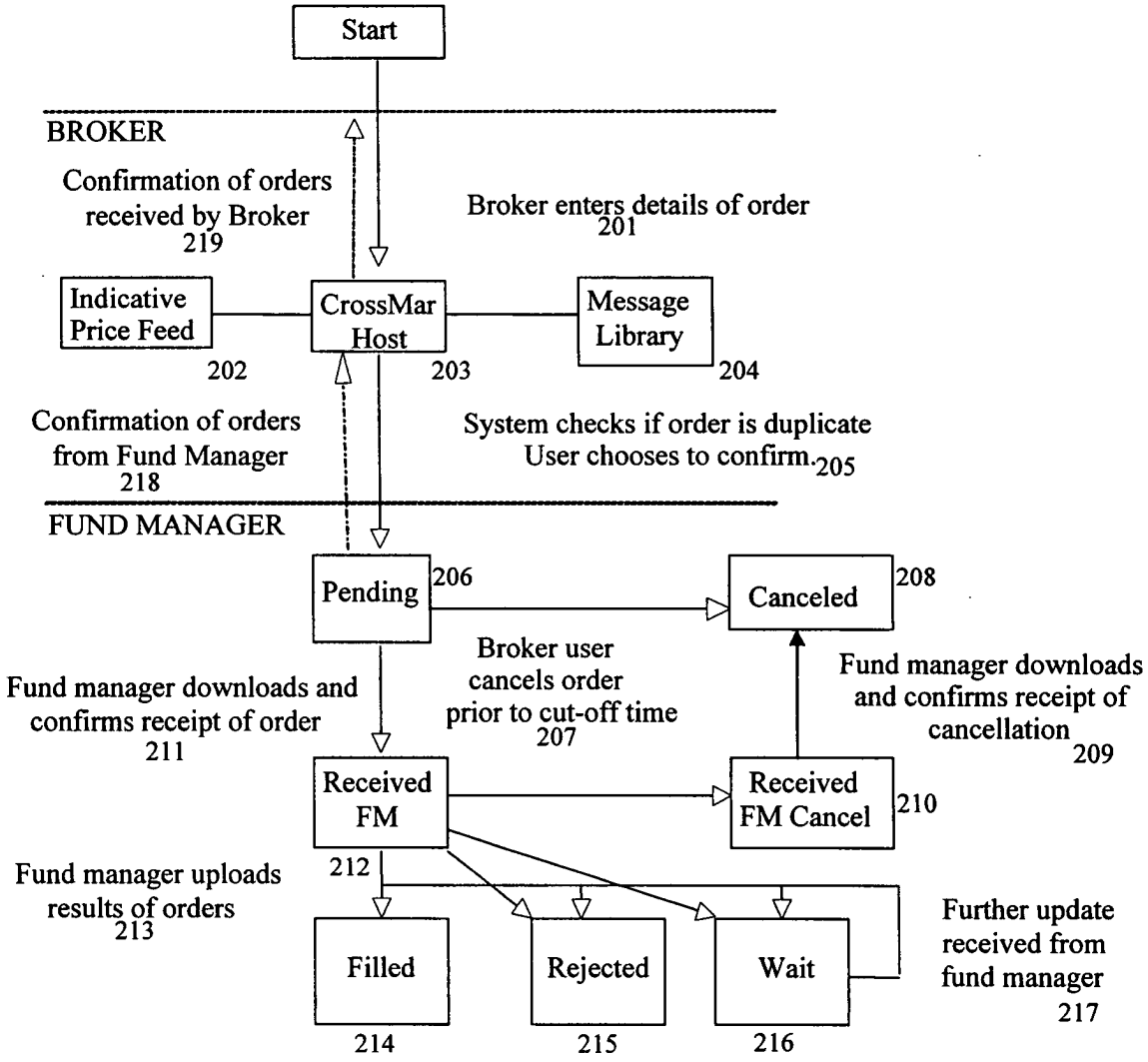


Fig 2

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System Schematic

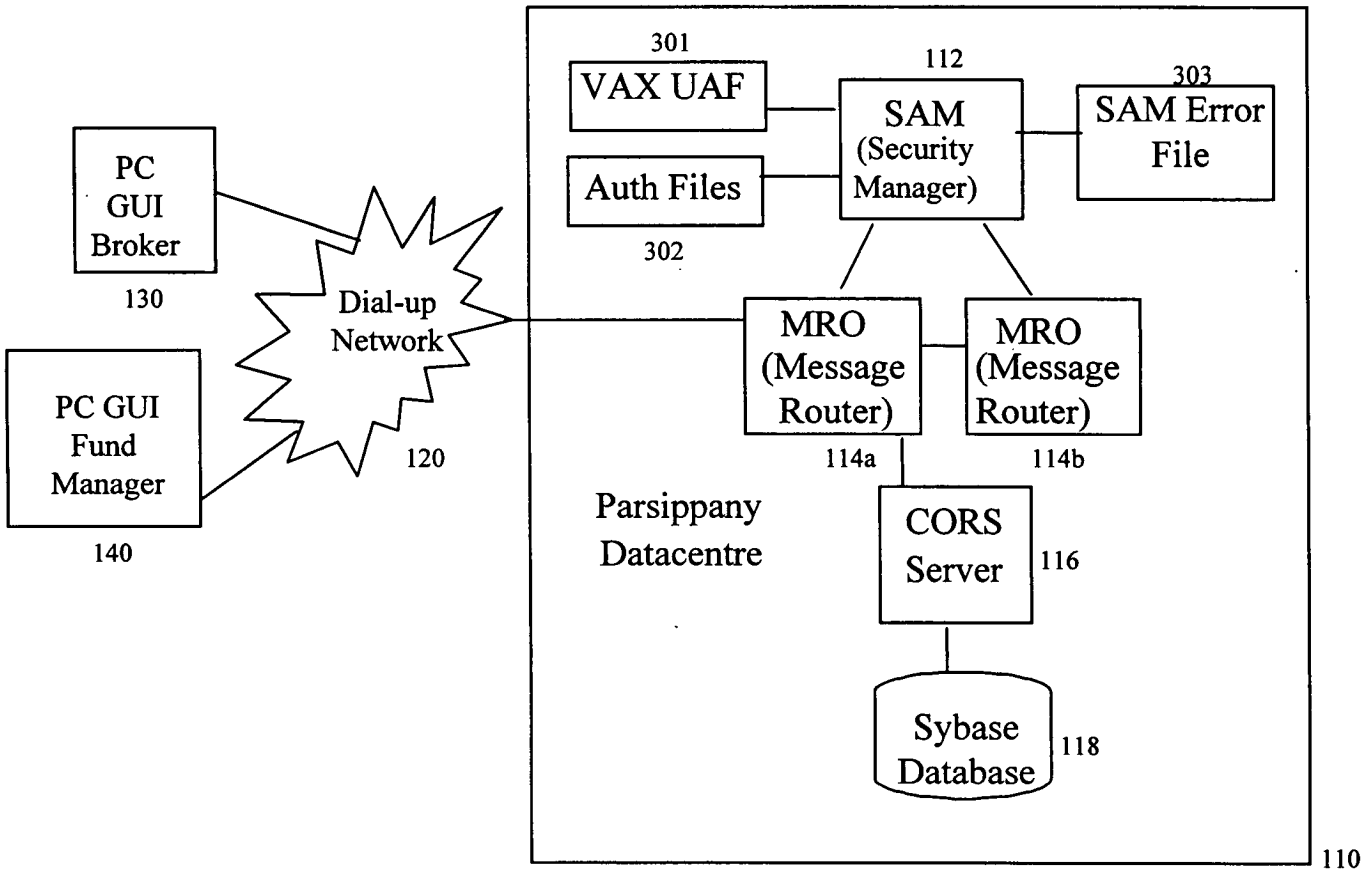


Fig 3A

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Design Overview

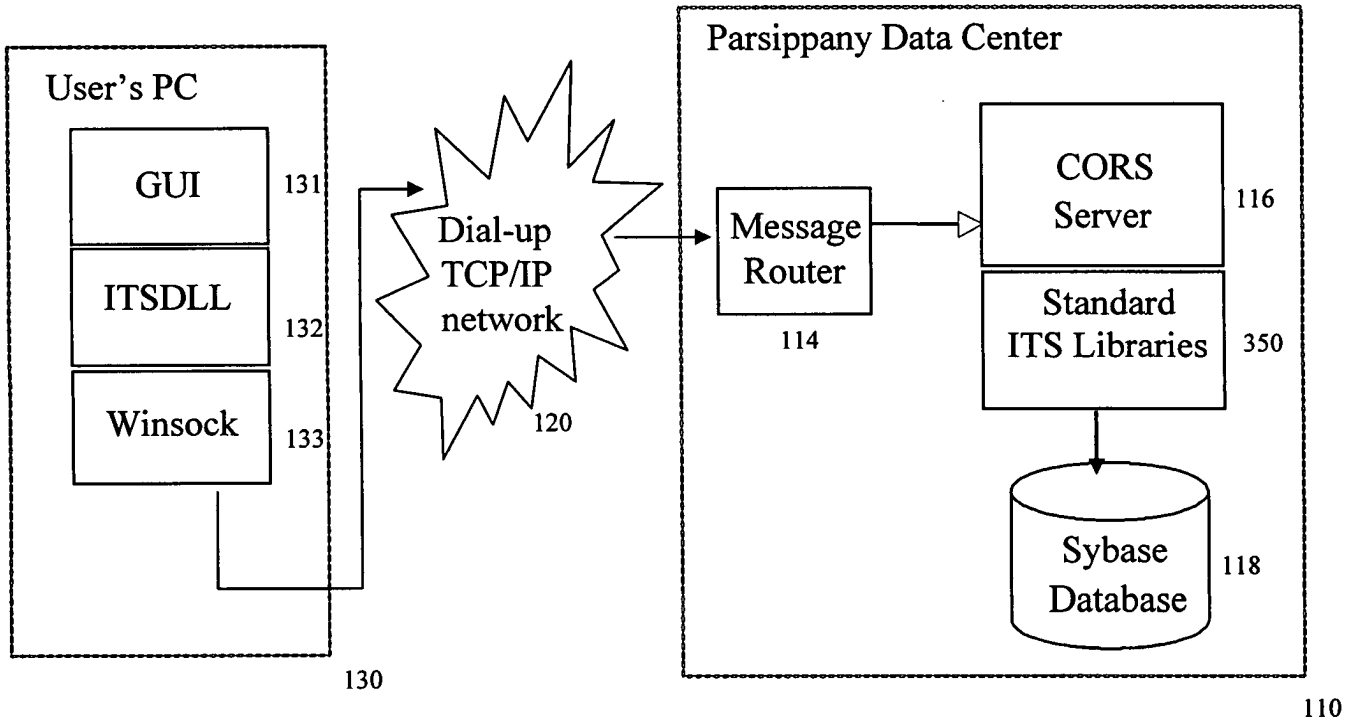


Fig 3B

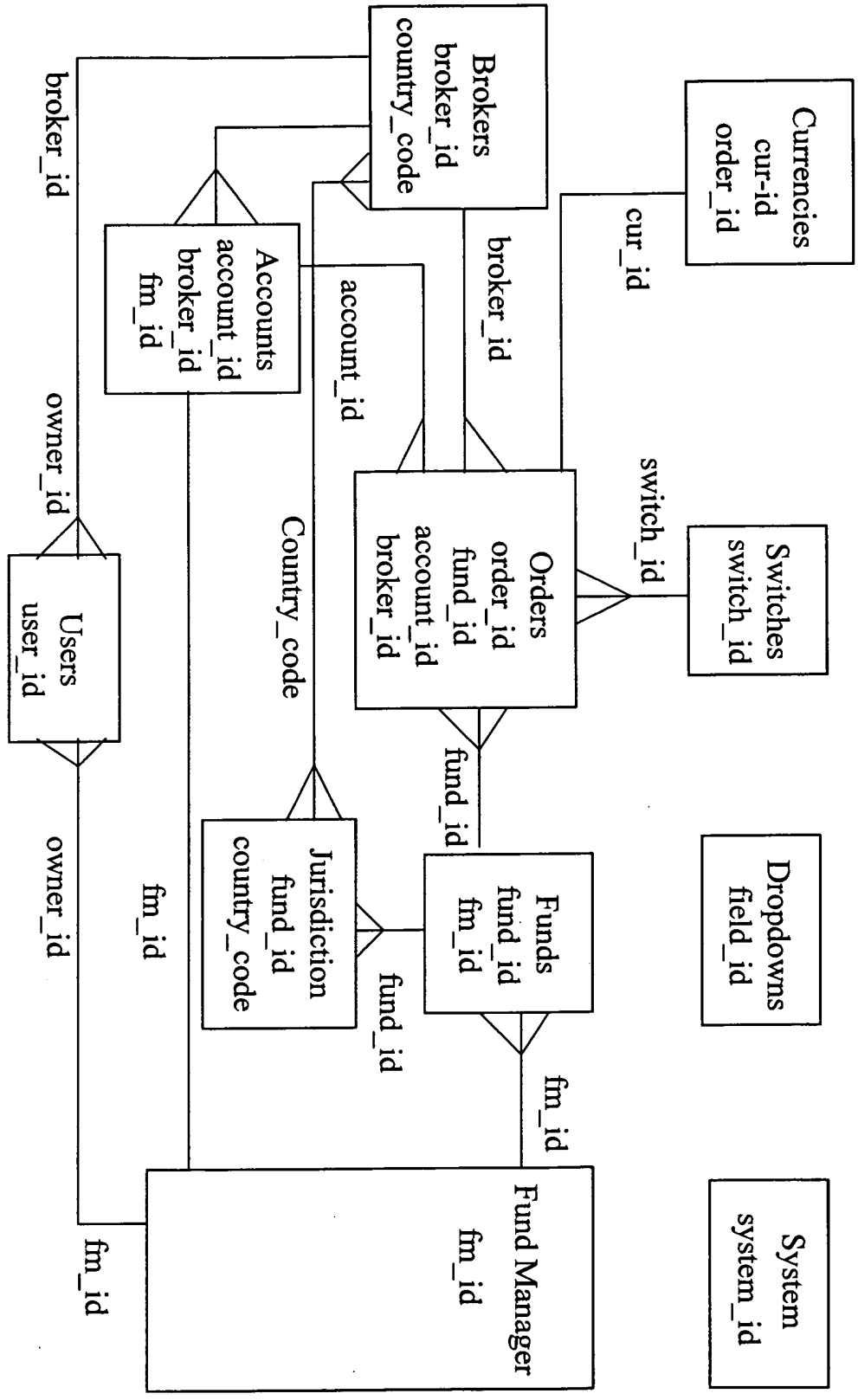

Database Schematic
Currencies
cur-id
order_id
Brokers
broker_id
country_code
Switches
switch_id
Dropdowns
field_id
System
system_id
Accounts
account_id
broker_id
fm_id
Orders
order_id
fund_id
account_id
broker_id
Funds
fund_id
fm_id
Jurisdiction
fund_id
country_code
Users
user_id
Fund Manager
fm_id
cur_id
broker_id
switch_id
account_id
owner_id
Country_code
fund_id
fm_id
fund_id
fm_id
owner_id
fm_id

Fig 4

Logging On

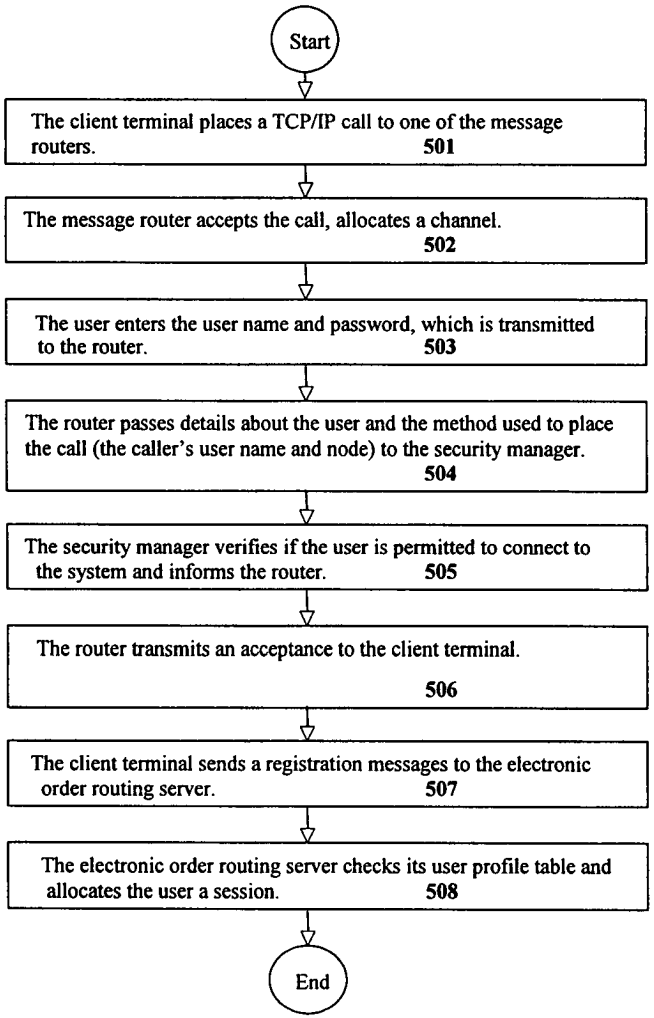


Fig 5

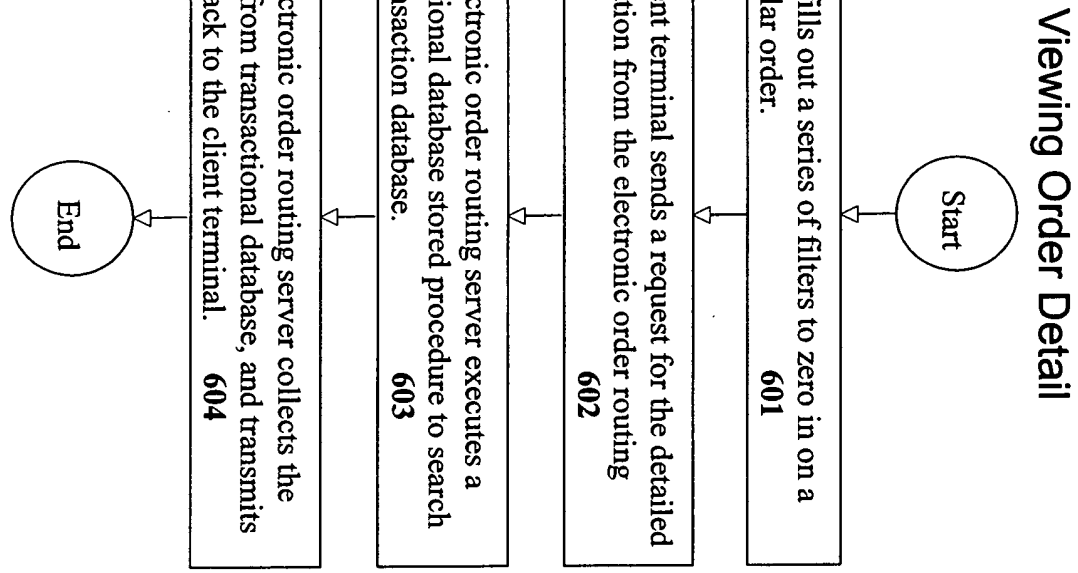

Viewing Order Detail
Start
A user fills out a series of filters to zero in on a particular order. 601
The client terminal sends a request for the detailed information from the electronic order routing server. 602
The electronic order routing server executes a transactional database stored procedure to search the transaction database. 603
The electronic order routing server collects the results from transactional database, and transmits them back to the client terminal. 604
End

Fig 6

Fund Manager Order Download

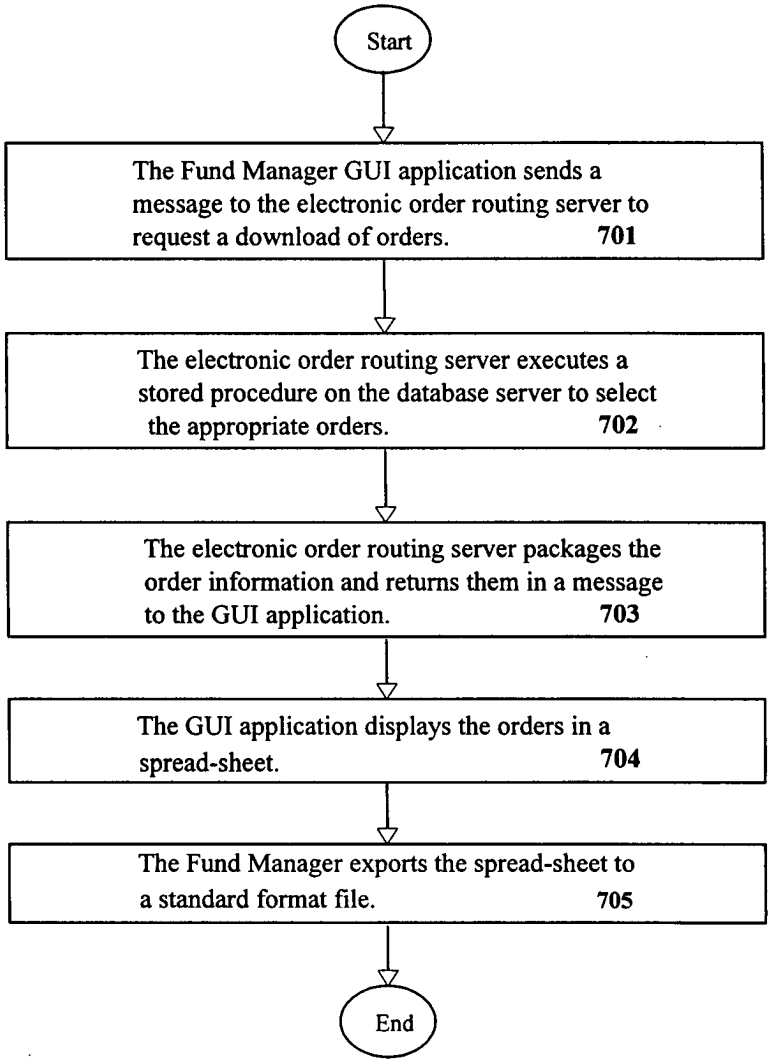


Fig 7

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Broker User Module -
Initial Log-On

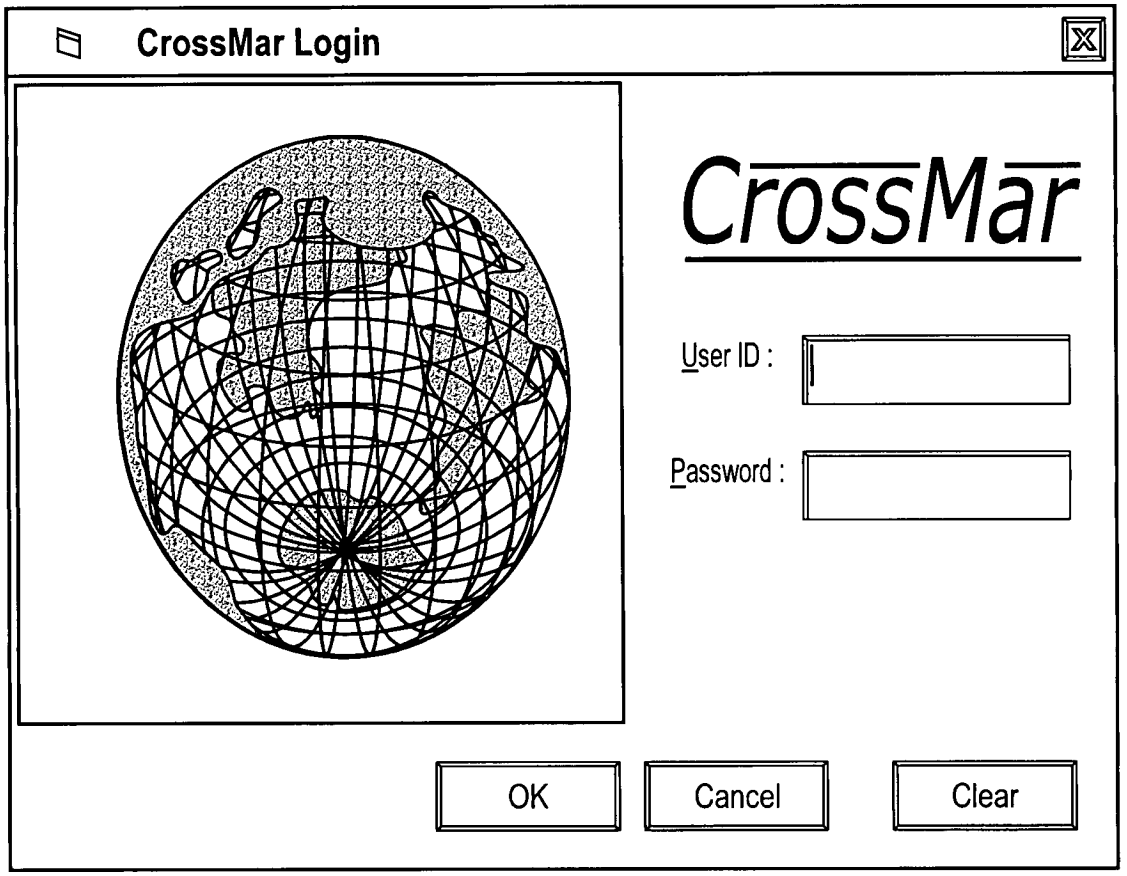


FIG. 8

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Broker User Module - View Rates

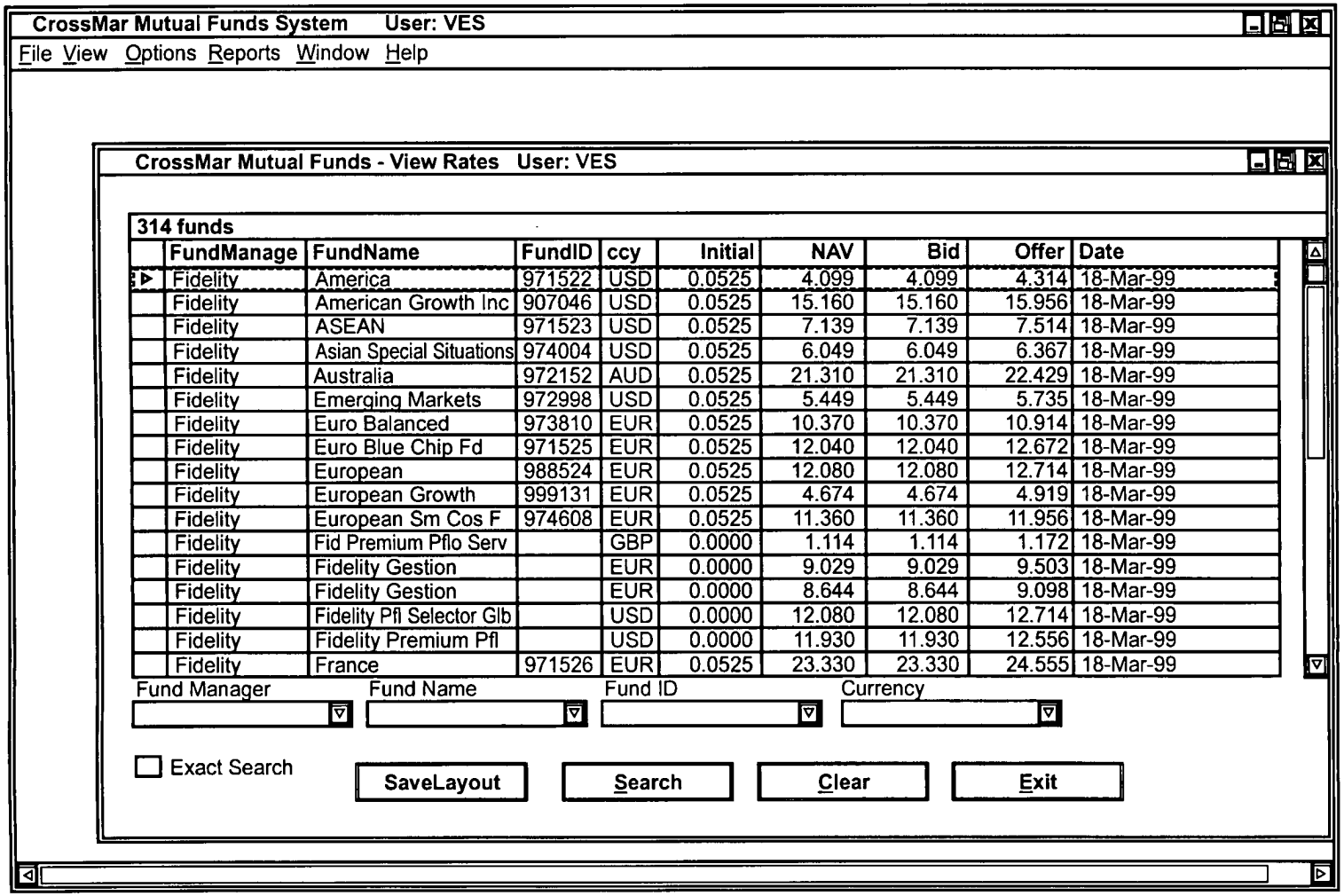


FIG. 9

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Broker User Module - Transaction

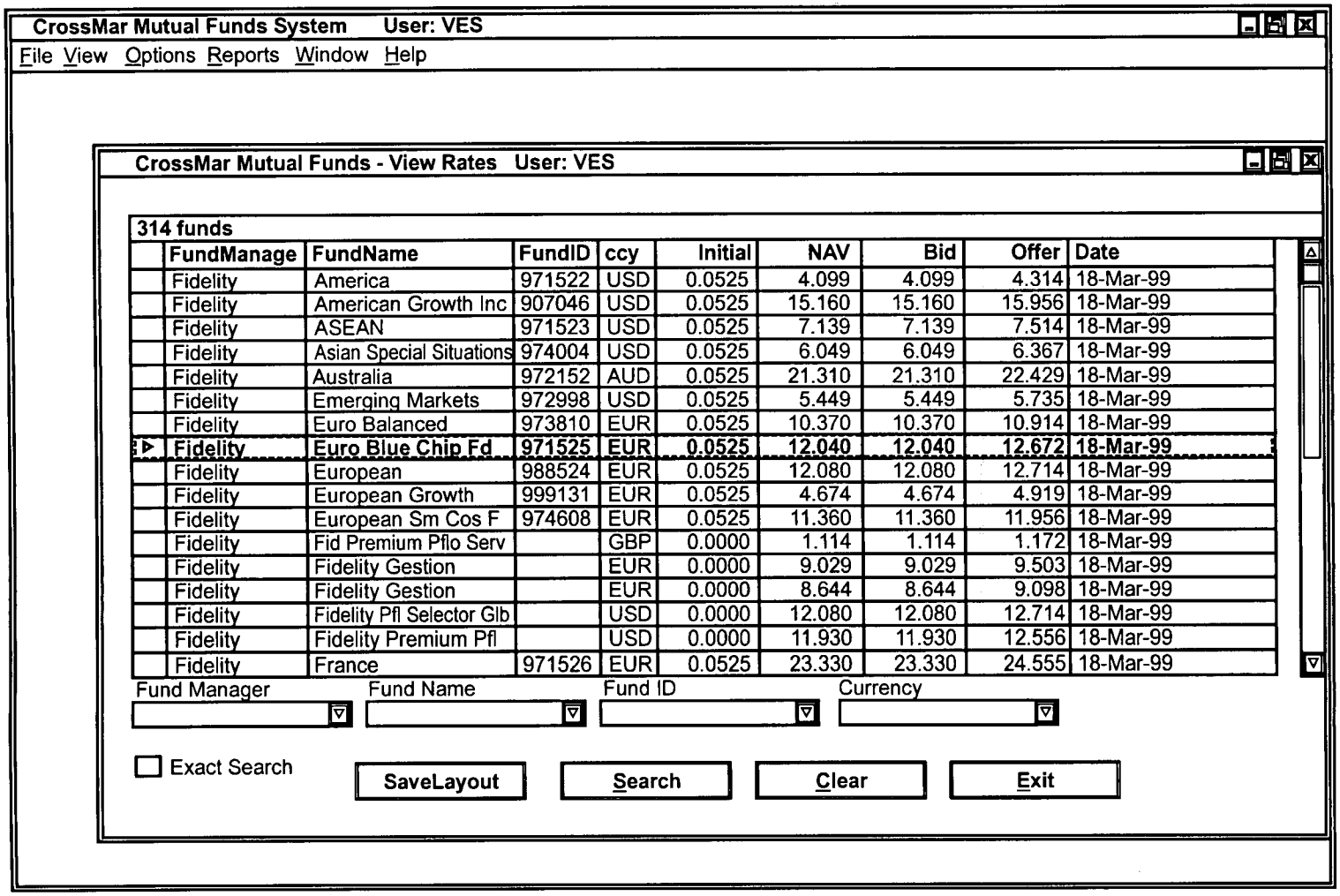


FIG. 10A

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Broker User Module - Transaction

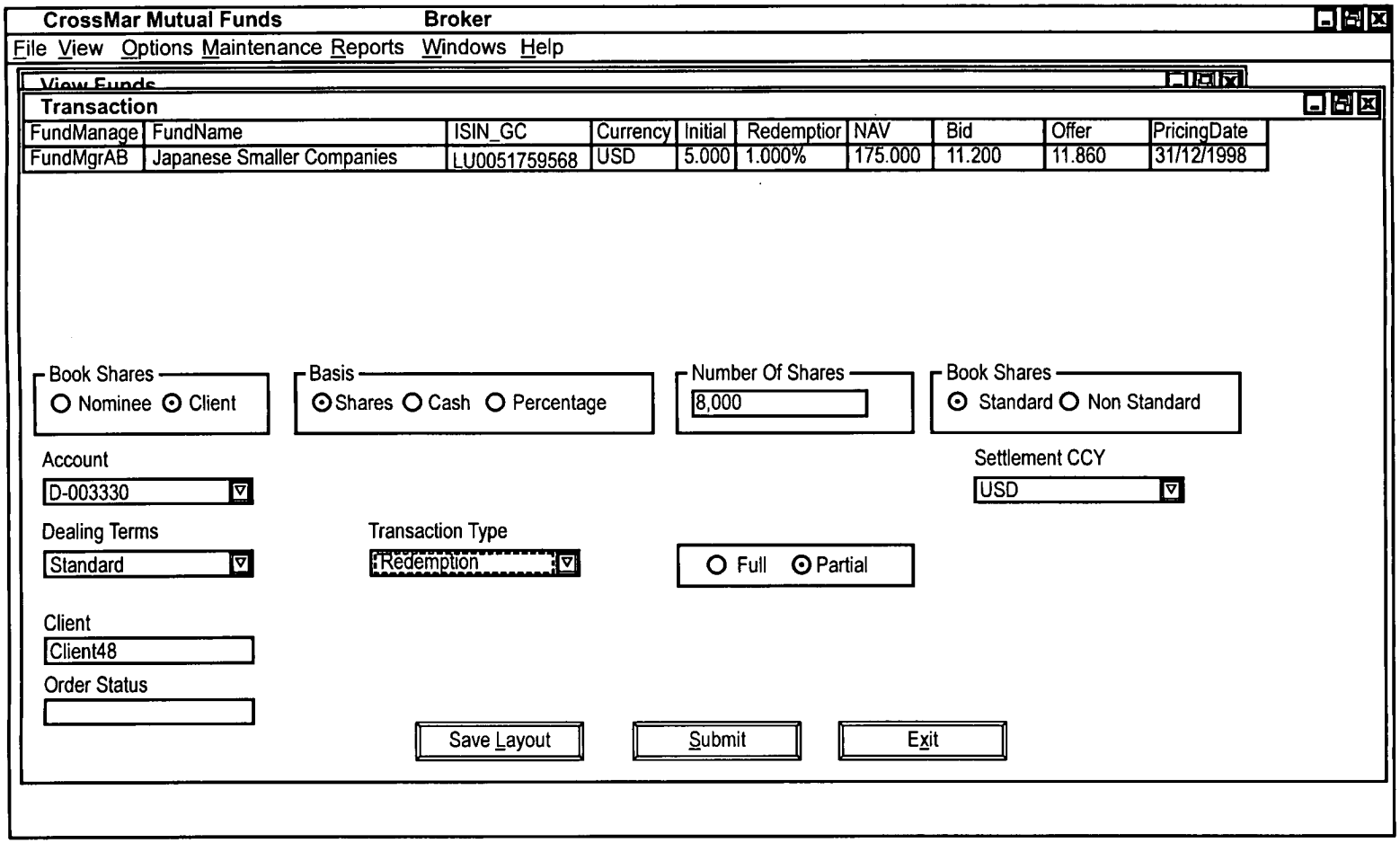


FIG. 10B

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Broker User Module - Sample of Fund Pricing with Selection of Fund, "Jump" to Transaction Screen

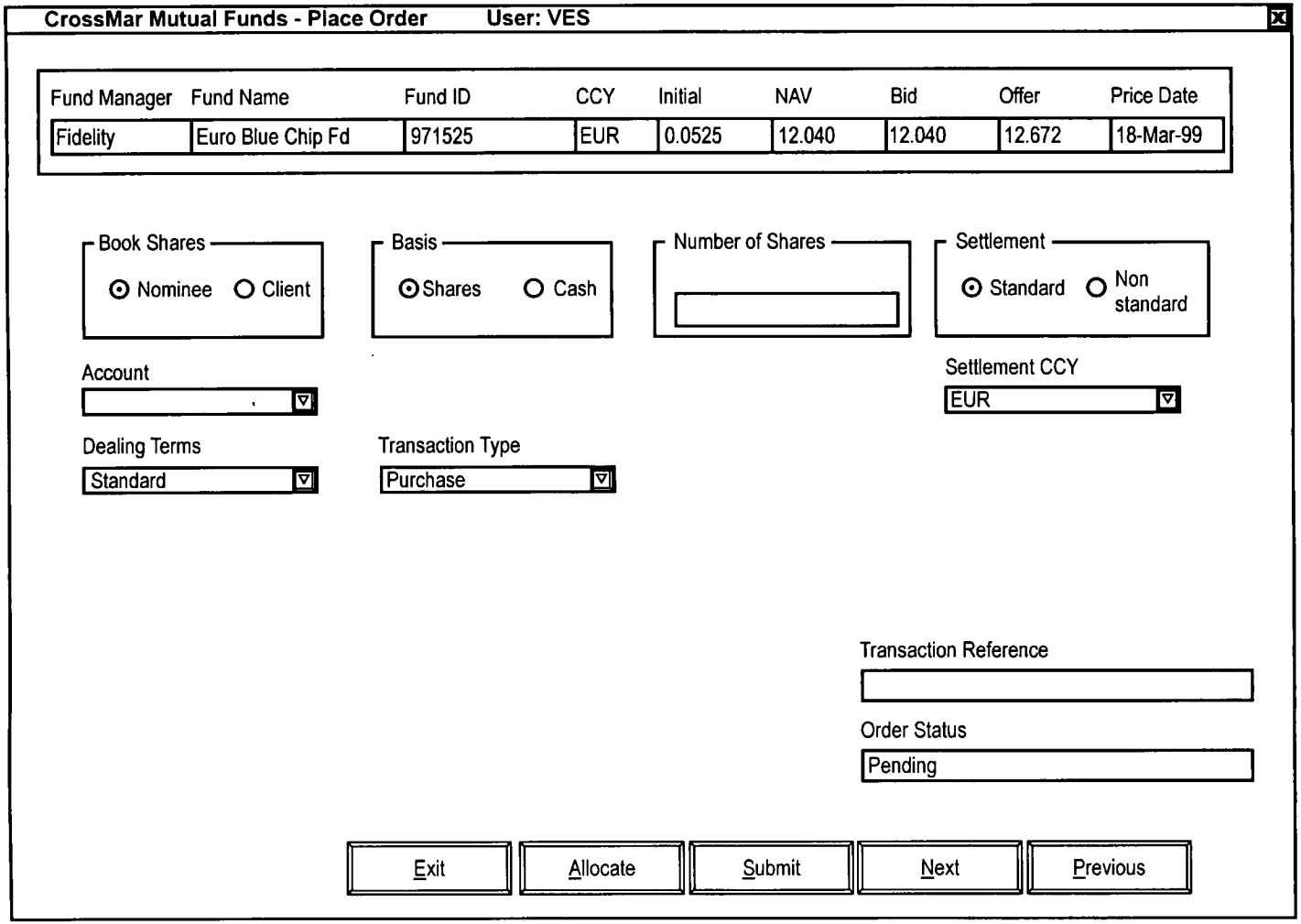


FIG. 11

Broker User Module - Sample of Purchase Transaction (for shares, standard settlement)

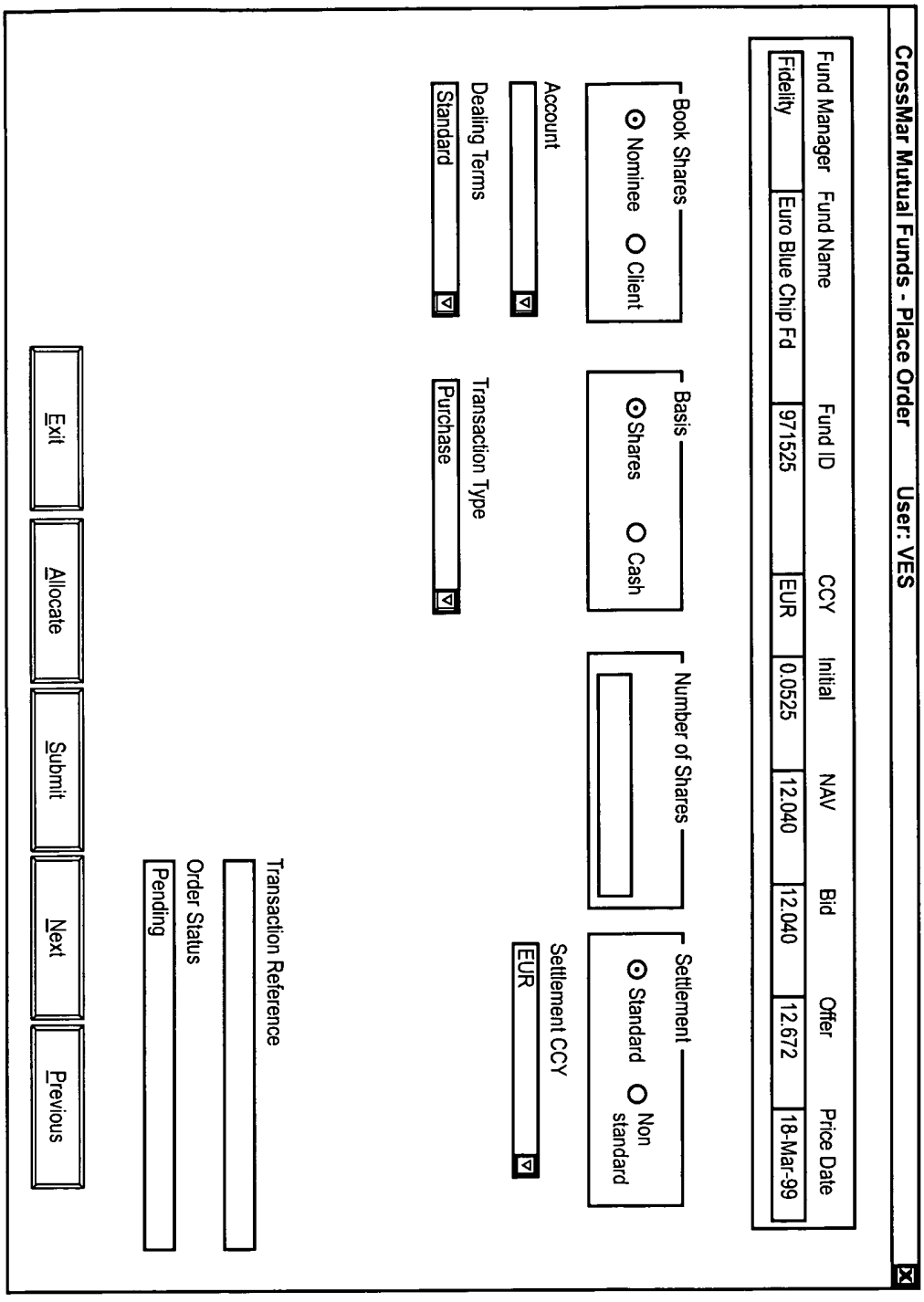


FIG. 12

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Broker User Module - Sample of Purchase Transaction (for cash, standard settlement)

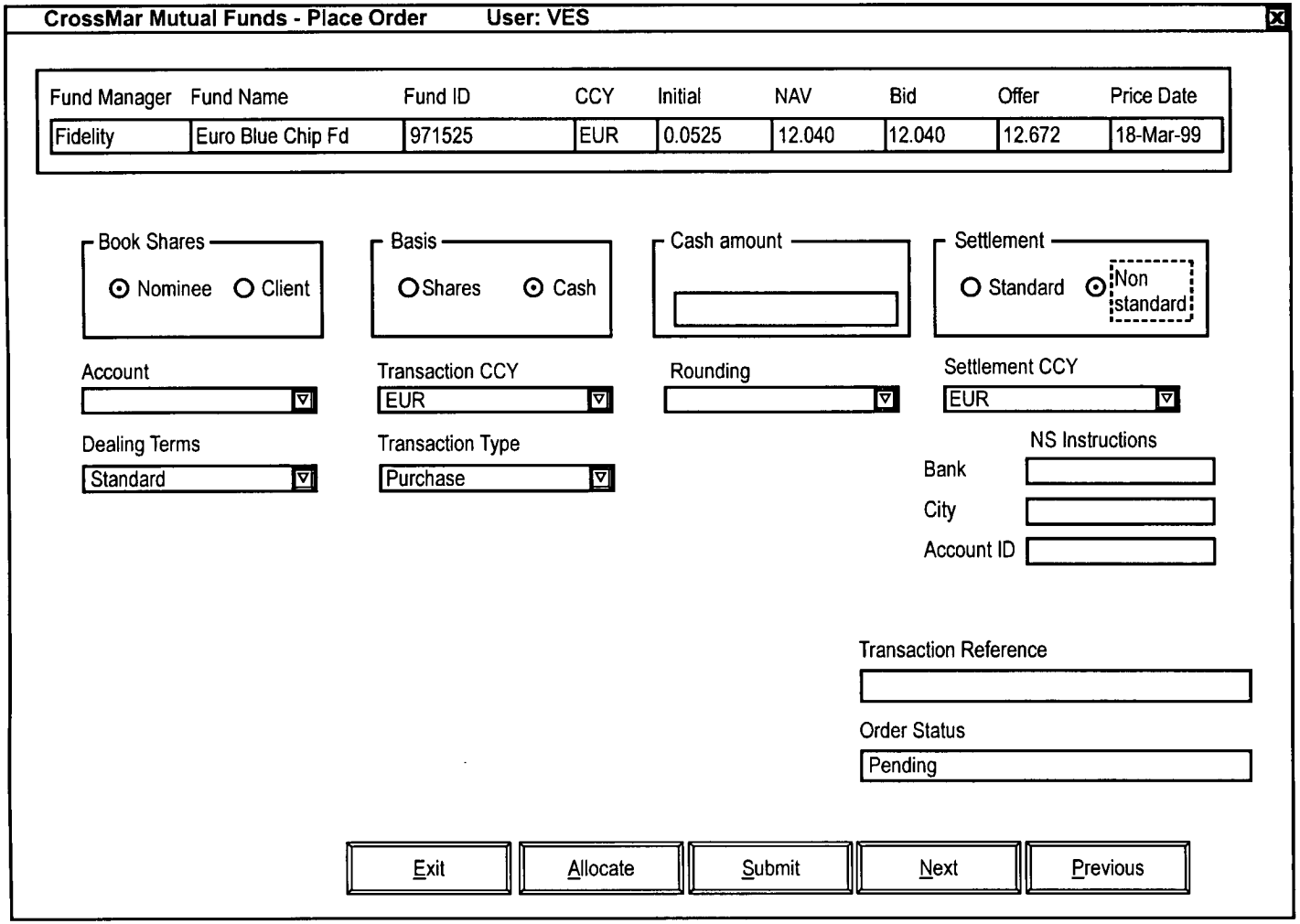


FIG. 13

Broker User Module - Sample of Purchase Transaction (for cash, non-standard settlement)

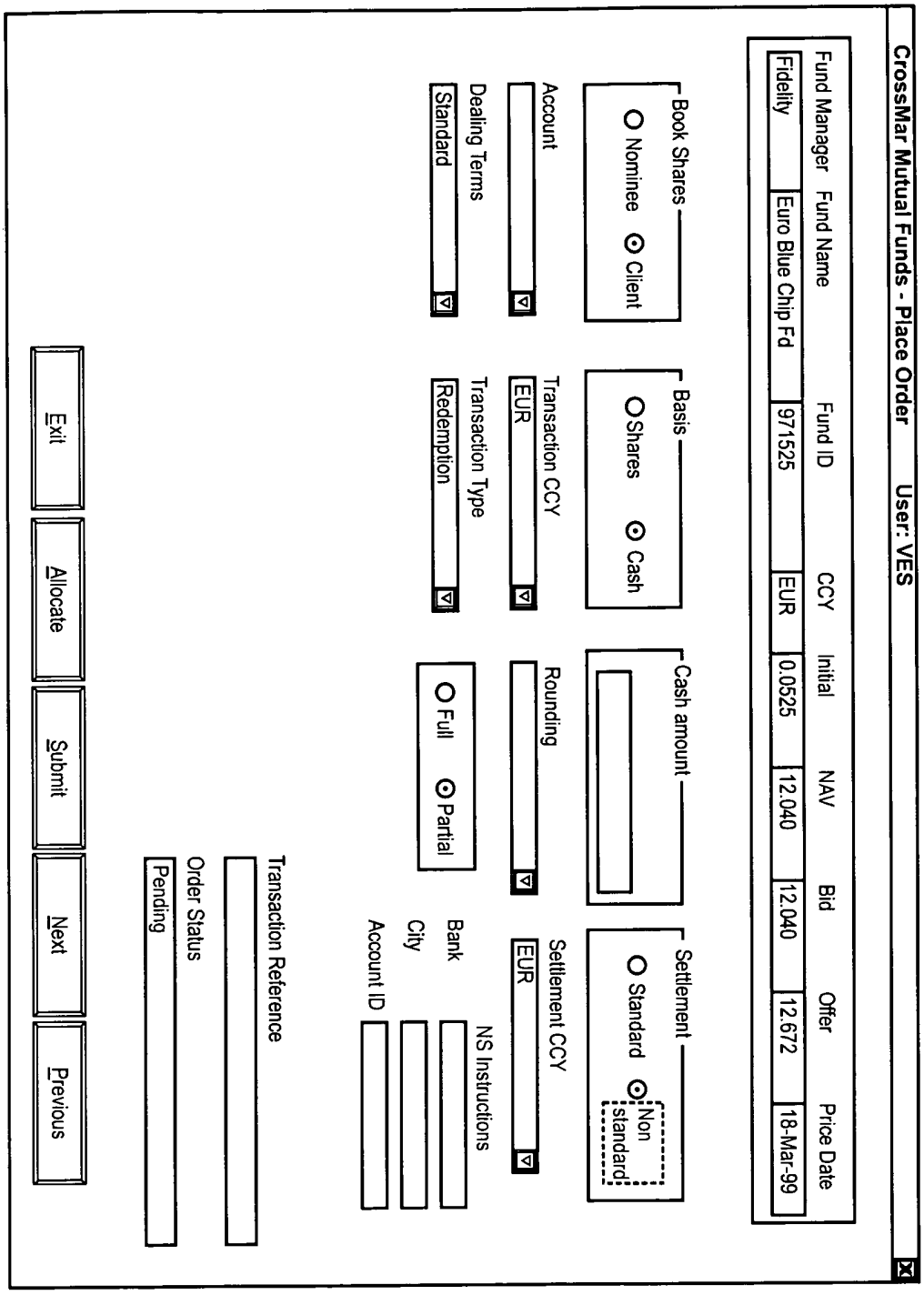


FIG. 14

Broker User Module - Sample of a Full Redemption

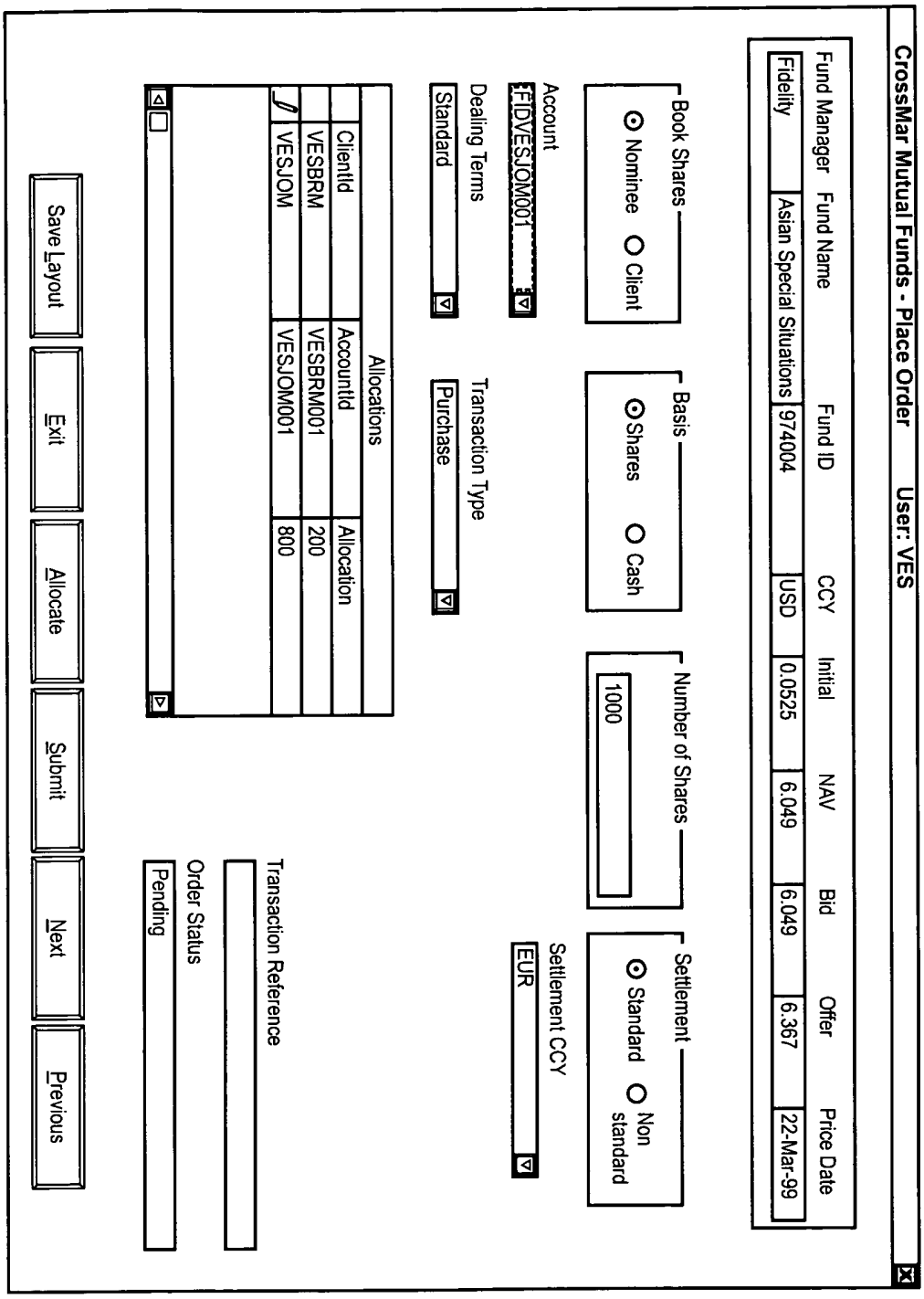


FIG. 15

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Broker User Module - Sample Screen of a Partial Redemption (for Cash)

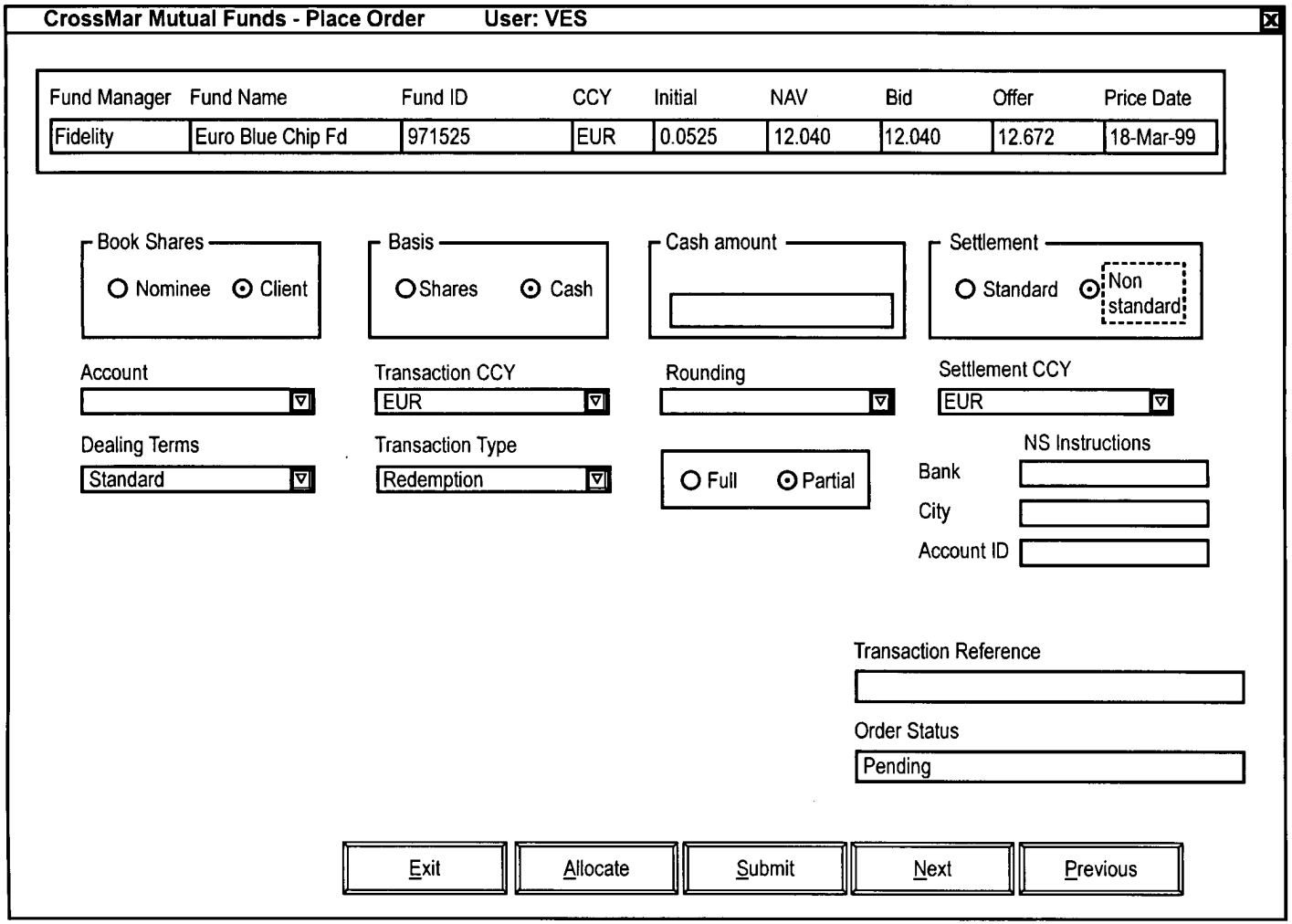


FIG. 16

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Broker User Module - Full Switch Transaction

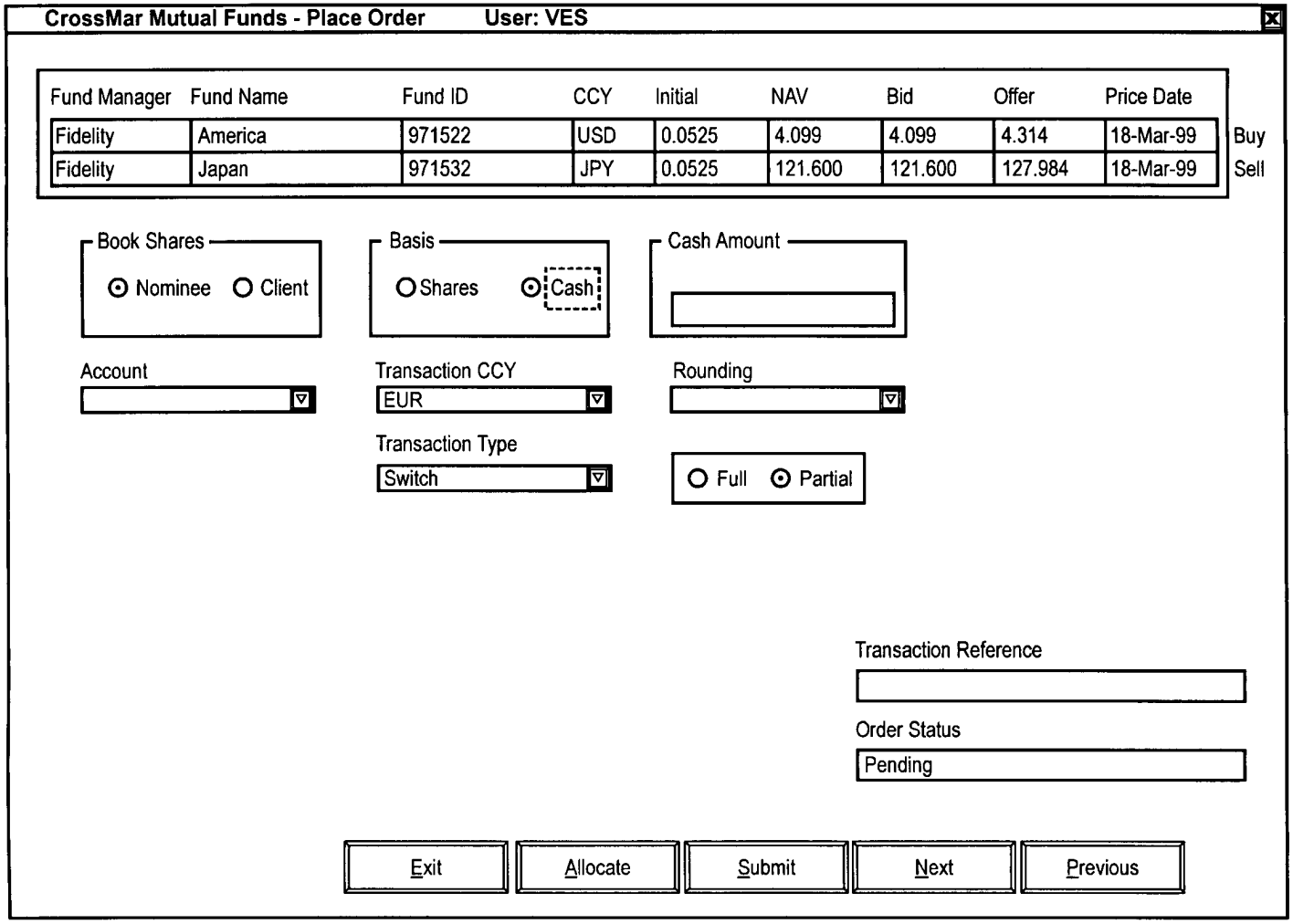


FIG. 17

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Broker User Module - Partial Switch Transaction (Cash)

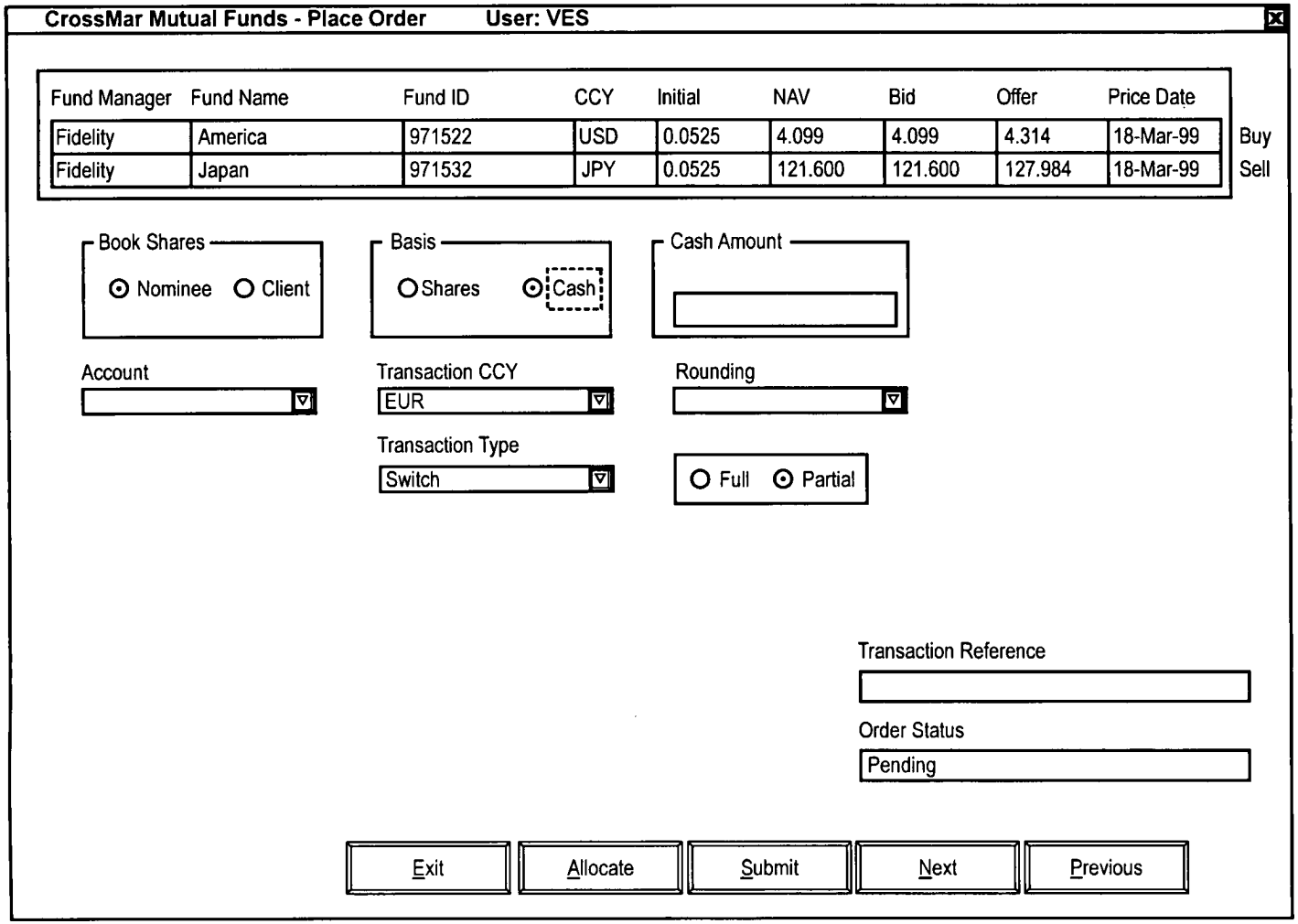


FIG. 18

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Broker User Module - Sample View Order

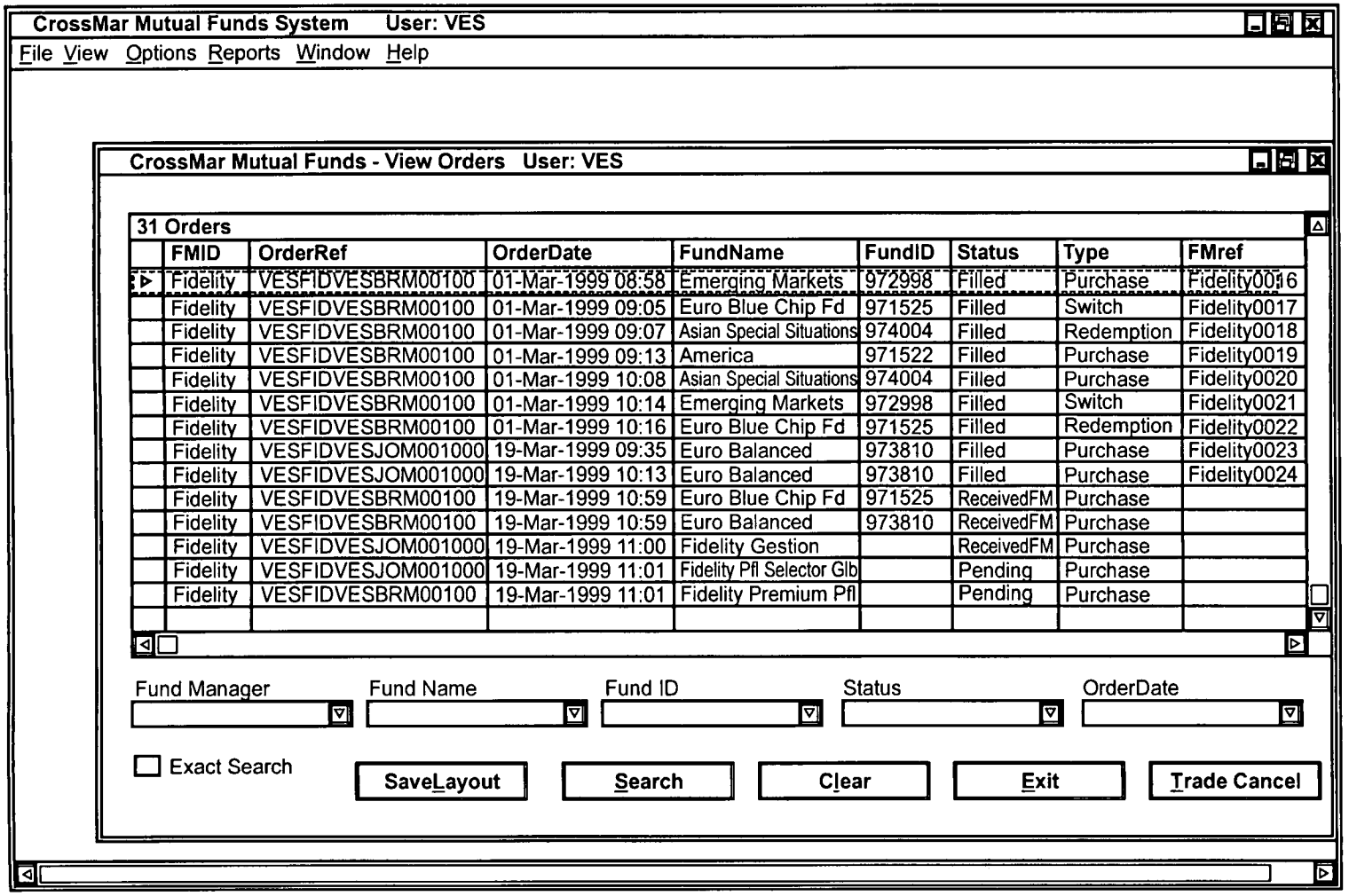


FIG. 19A

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Broker User Module - Sample View Order

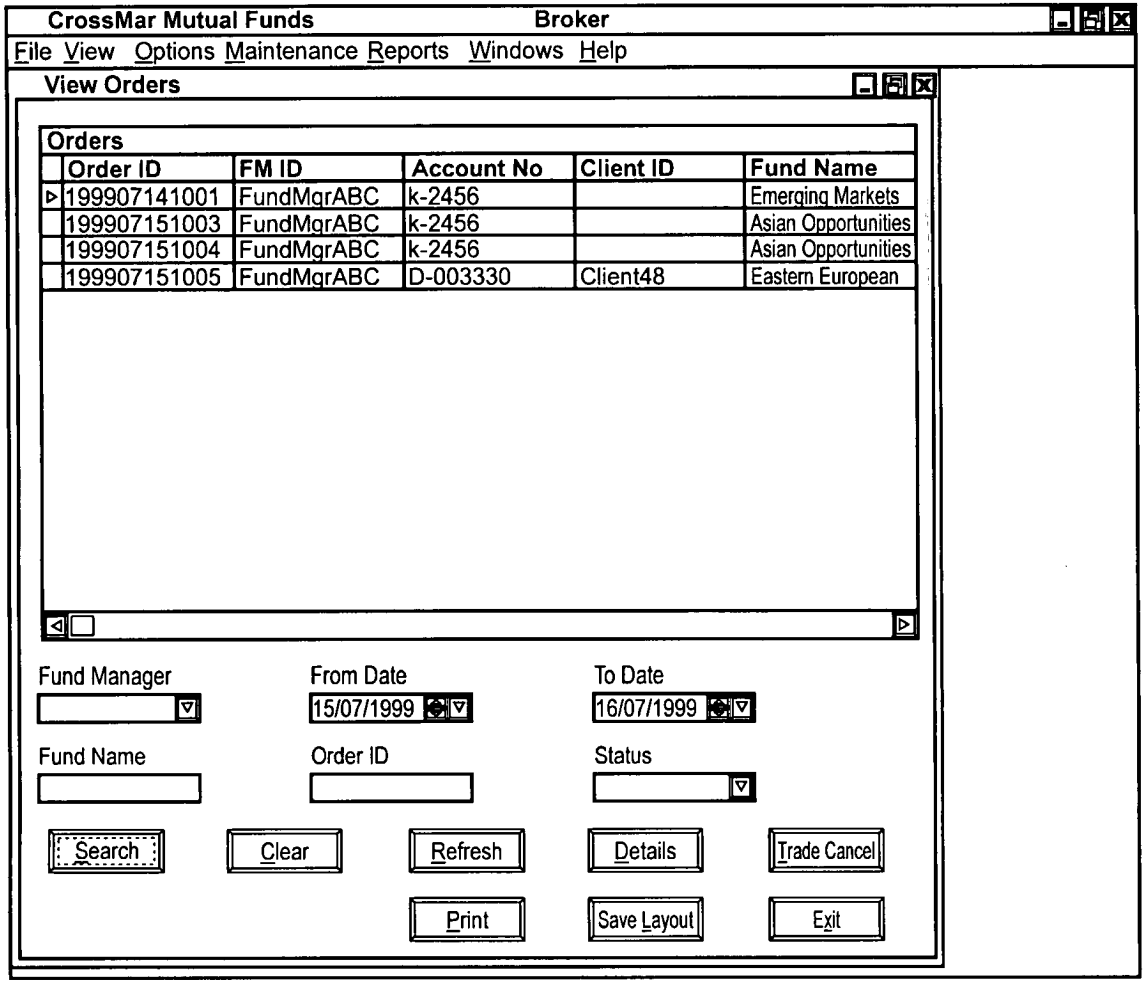


FIG. 19B

Broker User Module - Sample of Error Message

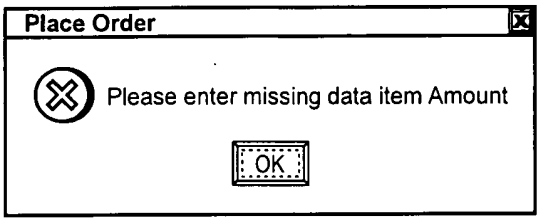
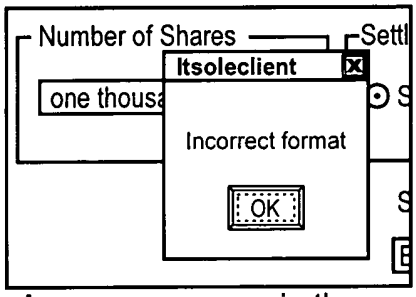


FIG. 20A

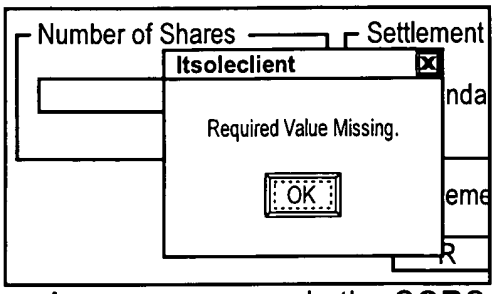
Broker User Module - Sample of Error Message



An error message in the CORS Transaction Window. The user entered "one thousand" in the "Number of Shares" field and then clicked "Submit."

FIG. 20B

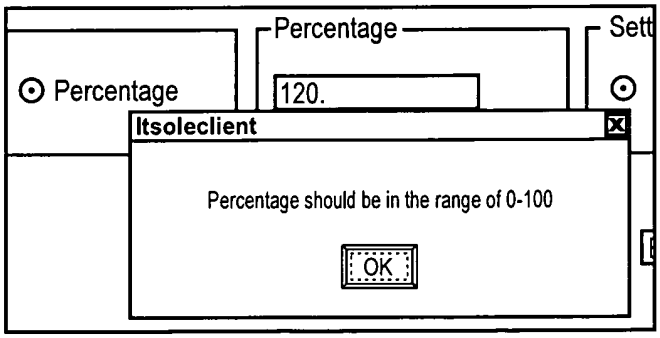
Broker User Module - Sample of Error Message



An error message in the CORS Transaction Window. The user neglected to enter a value in the "Number of Shares" field before clicking "Submit."

FIG. 20C

Broker User Module - Sample of Error Message



An error message in the CORS Transaction Window. The user entered a percentage greater than 100% in the "Percentage" field and clicked "Submit."

FIG. 20D

Broker User Module - Second Sample of Error Message

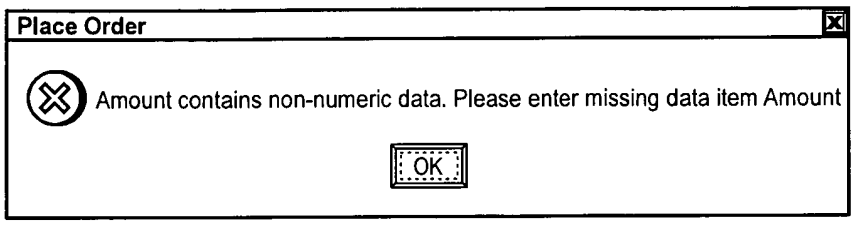


FIG. 21

Broker User Module - Sample Order Confirmation Message

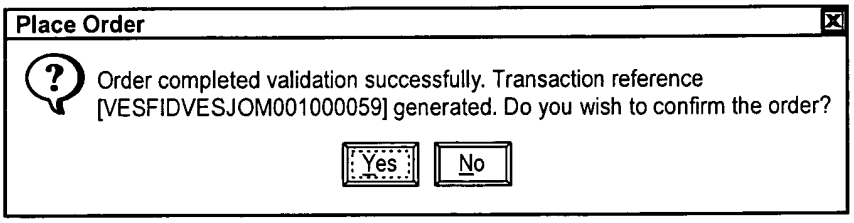


FIG. 22A

Broker User Module - Sample Order Confirmation Message

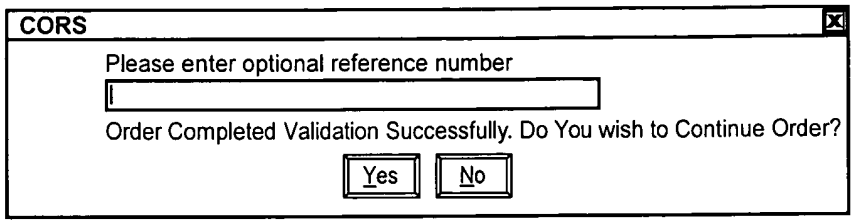


FIG. 22B

Broker User Module - Sample Order Confirmation Message



CORS message indicating that an account has been added successfully

FIG. 22C

Broker User Module - Sample Order Confirmation Message



CORS message indicating that an account has been updated successfully

FIG. 22D

Broker User Module - Sample Order Confirmation Message



CORS message indicating that an account has been successfully deleted

FIG. 22E

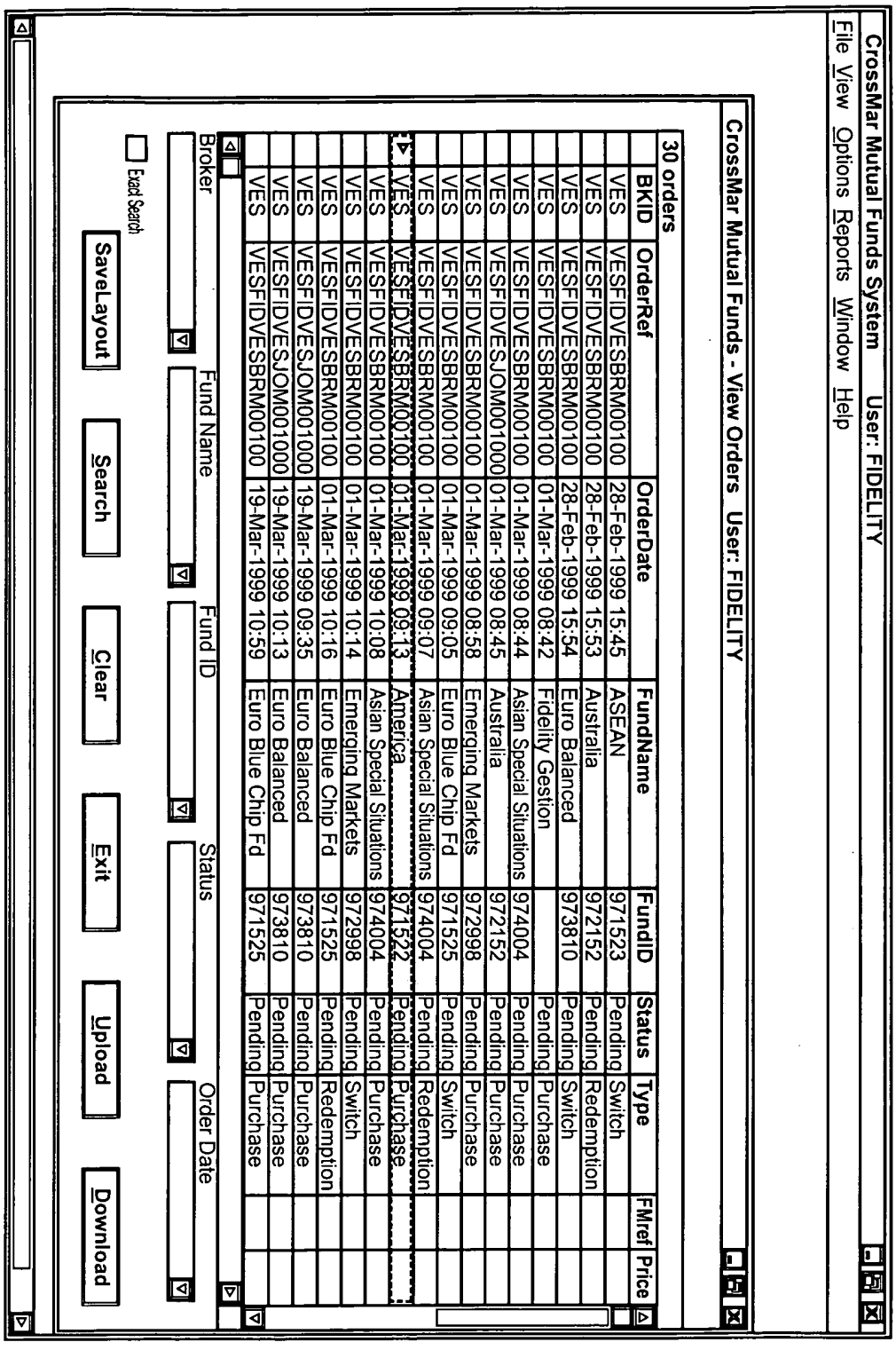

Broker User Module - View Orders
CrossMar Mutual Funds System User: FIDELITY
File View Options Reports Window Help
CrossMar Mutual Funds - View Orders User: FIDELITY
30 orders
BKID OrderRef OrderDate FundName FundID Status Type FMref Price
VES VESFIDVESBRM00100 28-Feb-1999 15:45 ASEAN 971523 Pending Switch
VES VESFIDVESBRM00100 28-Feb-1999 15:53 Australia 972152 Pending Redemption
VES VESFIDVESBRM00100 28-Feb-1999 15:54 Euro Balanced 973810 Pending Switch
VES VESFIDVESBRM00100 01-Mar-1999 08:42 Fidelity Gestion Pending Purchase
VES VESFIDVESBRM00100 01-Mar-1999 08:44 Asian Special Situations 974004 Pending Purchase
VES VESFIDVESJOM001000 01-Mar-1999 08:45 Australia 972152 Pending Purchase
VES VESFIDVESBRM00100 01-Mar-1999 08:58 Emerging Markets 972998 Pending Purchase
VES VESFIDVESBRM00100 01-Mar-1999 09:05 Euro Blue Chip Fd 971525 Pending Switch
VES VESFIDVESBRM00100 01-Mar-1999 09:07 Asian Special Situations 974004 Pending Redemption
VES VESFIDVESBRM00100 01-Mar-1999 09:13 America 971522 Pending Purchase
VES VESFIDVESBRM00100 01-Mar-1999 10:08 Asian Special Situations 974004 Pending Purchase
VES VESFIDVESBRM00100 01-Mar-1999 10:14 Emerging Markets 972998 Pending Switch
VES VESFIDVESBRM00100 01-Mar-1999 10:16 Euro Blue Chip Fd 971525 Pending Redemption
VES VESFIDVESJOM001000 19-Mar-1999 09:35 Euro Balanced 973810 Pending Purchase
VES VESFIDVESJOM001000 19-Mar-1999 10:13 Euro Balanced 973810 Pending Purchase
VES VESFIDVESBRM00100 19-Mar-1999 10:59 Euro Blue Chip Fd 971525 Pending Purchase
Broker
Fund Name
Fund ID
Status
Order Date
Exact Search
SaveLayout
Search
Clear
Exit
Upload
Download

FIG. 23

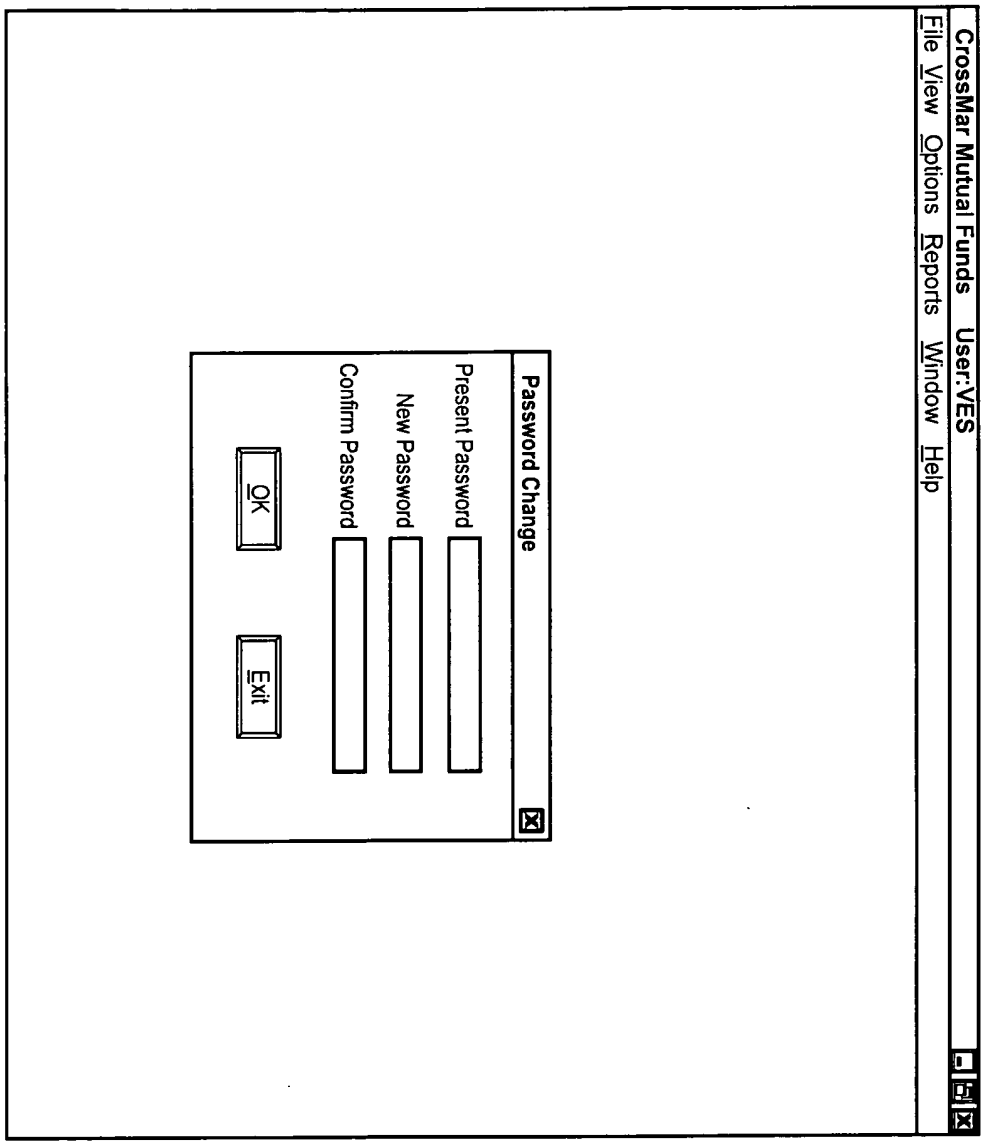

Broker User Module - Change Password
CrossMar Mutual Funds User:VES
File View Options Reports Window Help
Password Change
Present Password
New Password
Confirm Password
OK
Exit

FIG. 24

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Broker User Module - Set Defaults

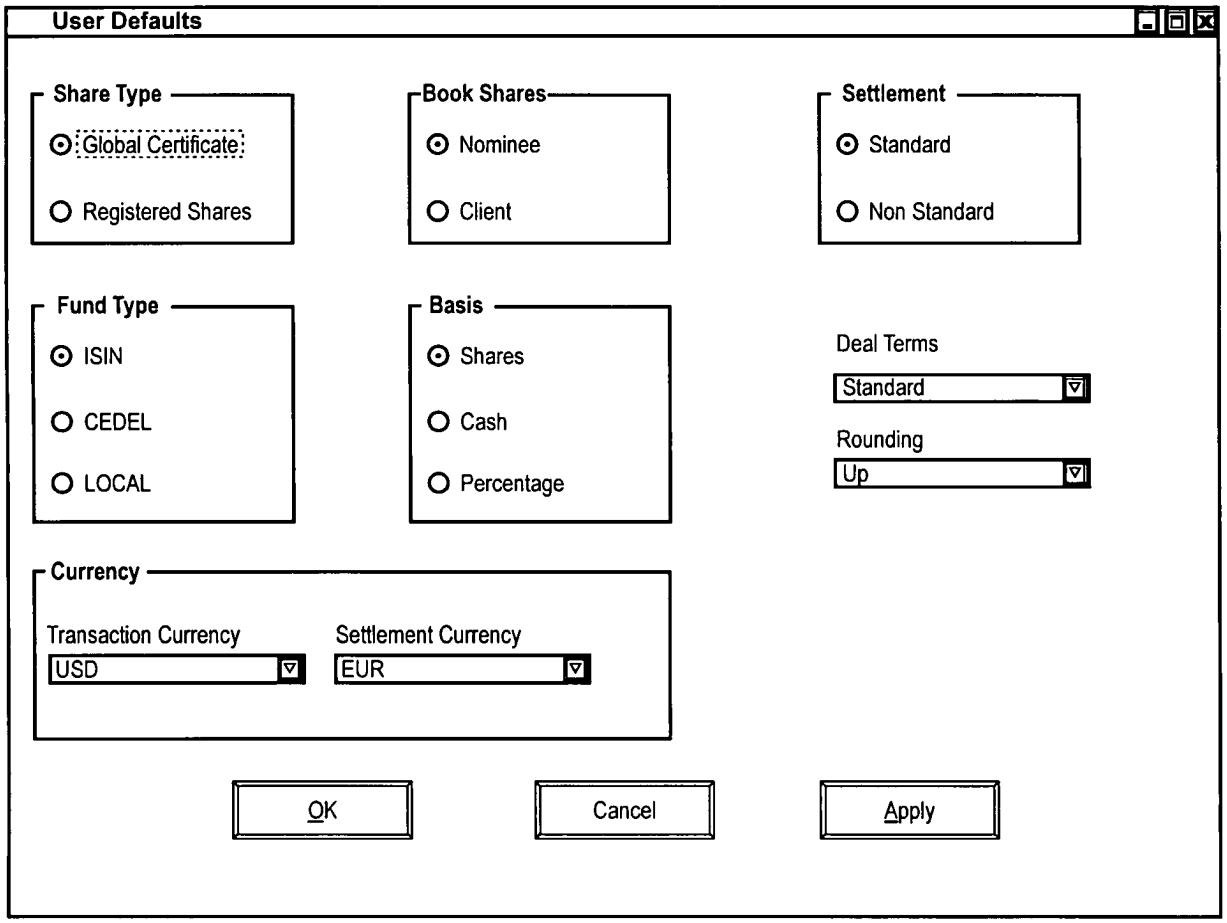


FIG. 25

Broker User Module - Add Clients

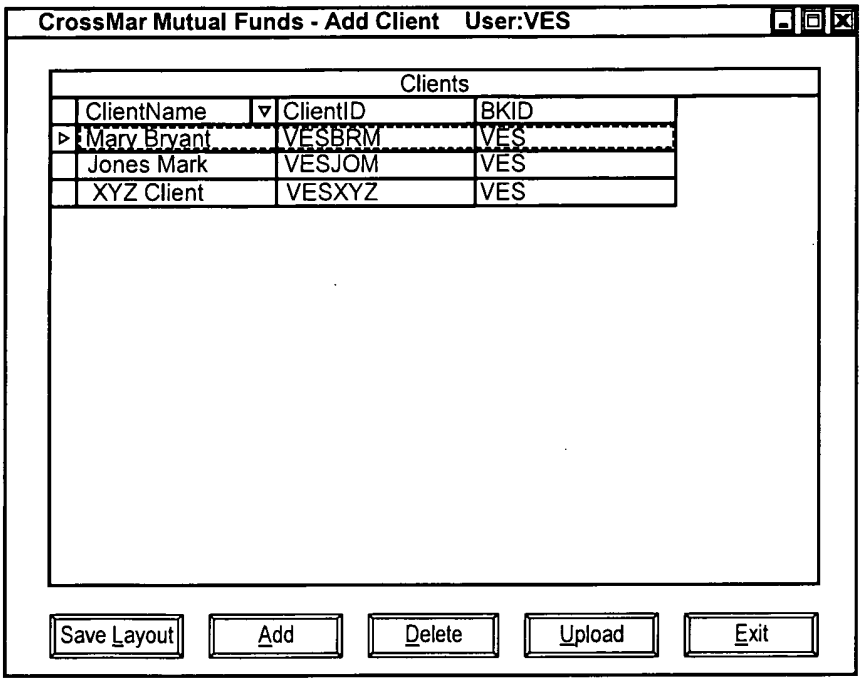


FIG. 26

Fund Manager User Module - Initial Log-On

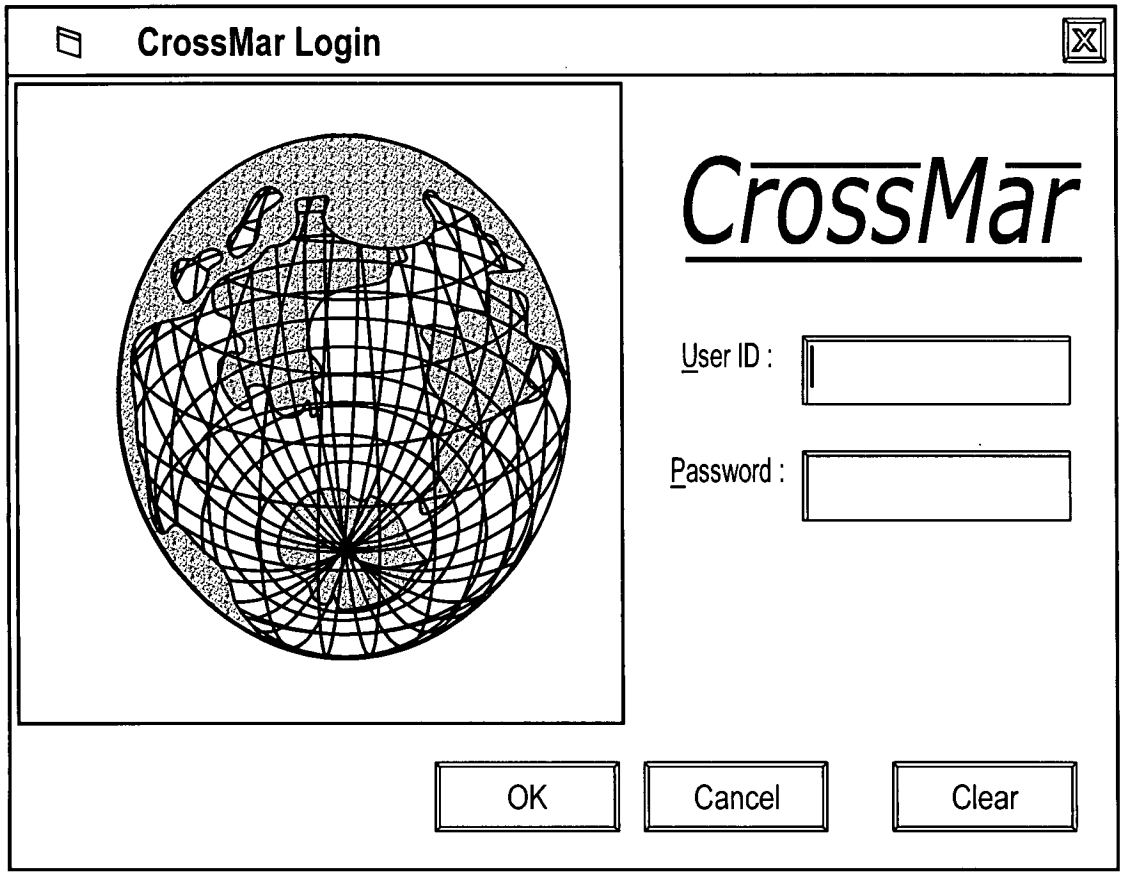
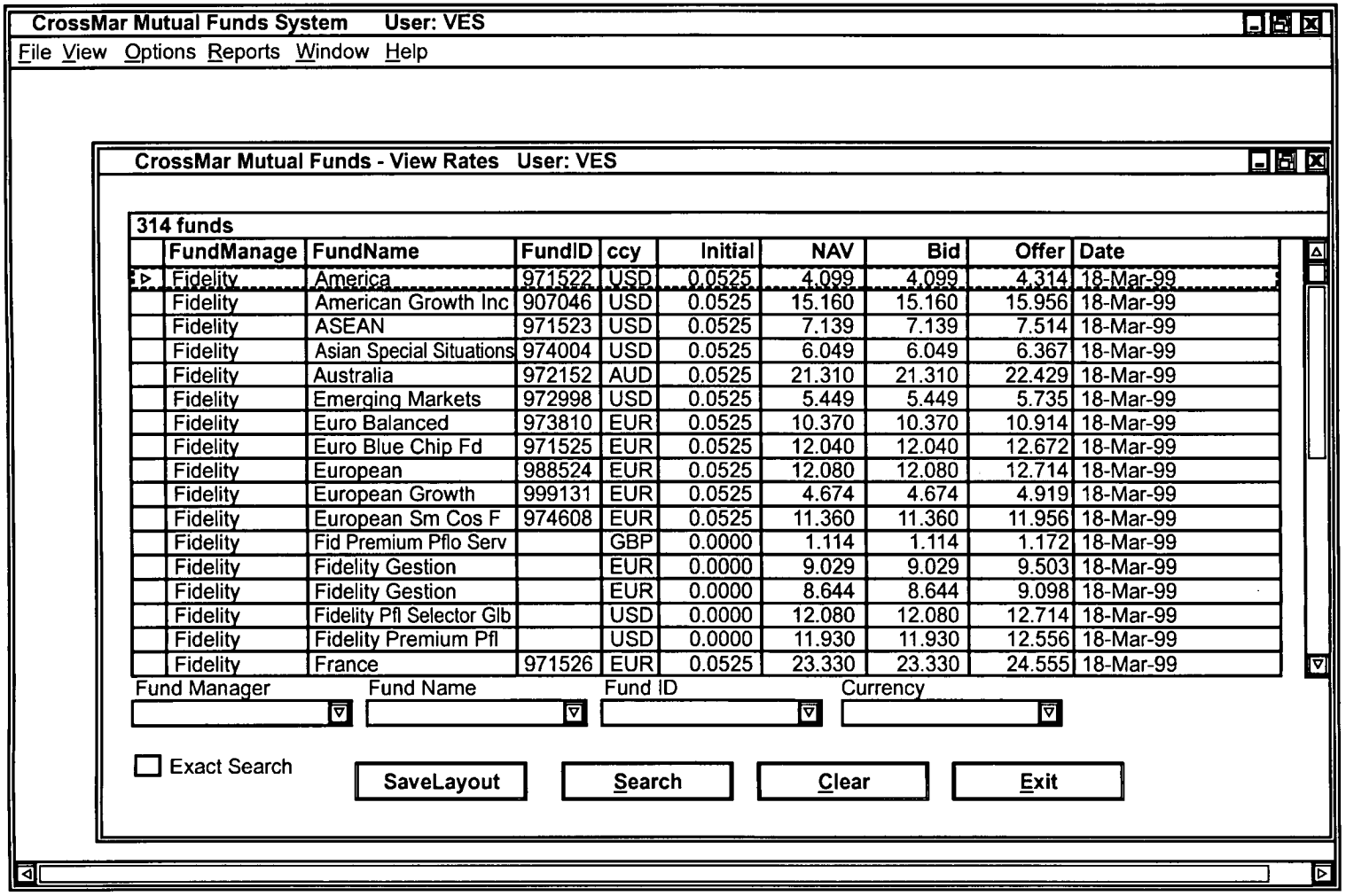


FIG. 27

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Fund Manager User Module - View Rates

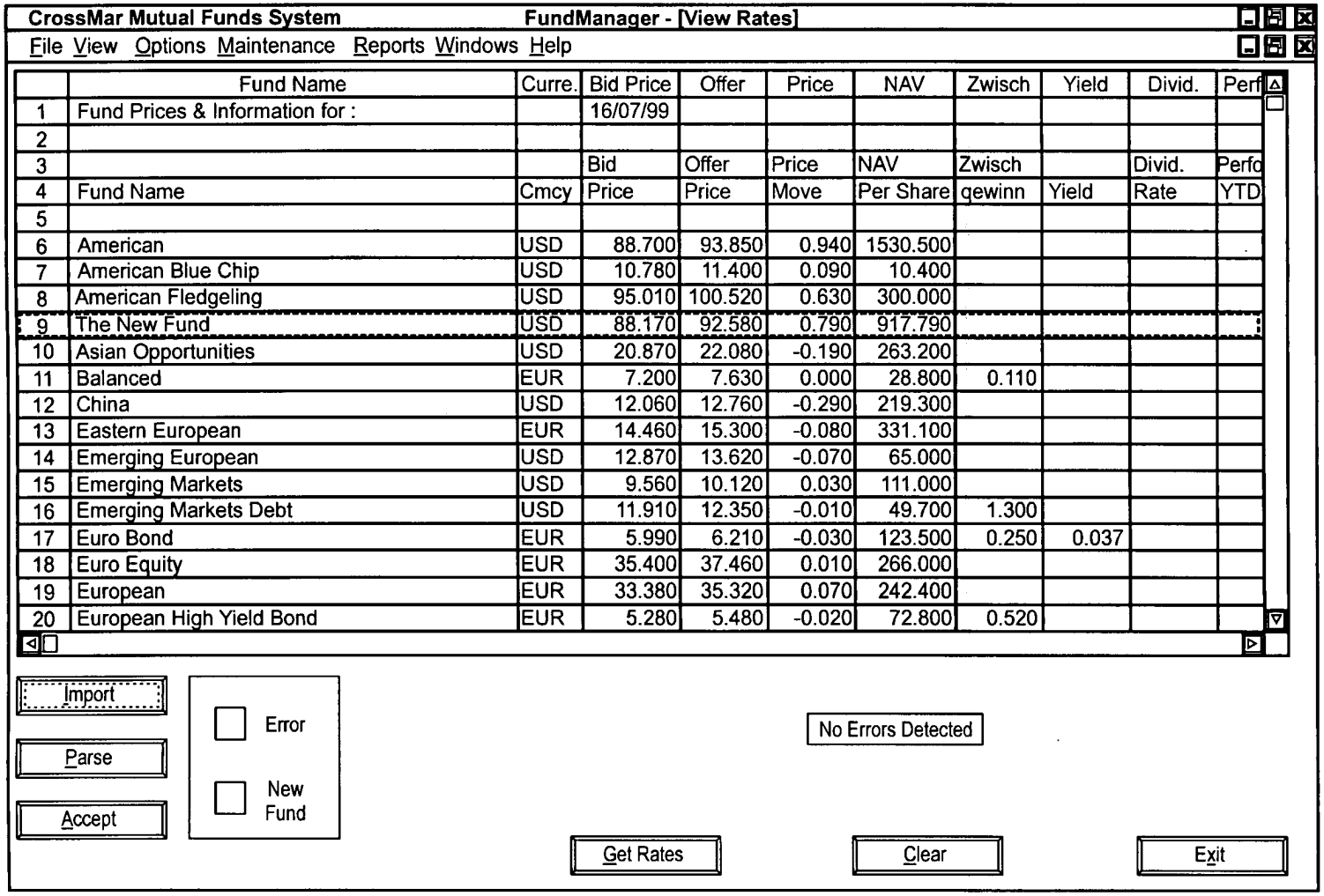


FundManage	FundName	FundID	ccy	Initial	NAV	Bid	Offer	Date
Fidelity	America	971522	USD	0.0525	4.099	4.099	4.314	18-Mar-99
Fidelity	American Growth Inc	907046	USD	0.0525	15.160	15.160	15.956	18-Mar-99
Fidelity	ASEAN	971523	USD	0.0525	7.139	7.139	7.514	18-Mar-99
Fidelity	Asian Special Situations	974004	USD	0.0525	6.049	6.049	6.367	18-Mar-99
Fidelity	Australia	972152	AUD	0.0525	21.310	21.310	22.429	18-Mar-99
Fidelity	Emerging Markets	972998	USD	0.0525	5.449	5.449	5.735	18-Mar-99
Fidelity	Euro Balanced	973810	EUR	0.0525	10.370	10.370	10.914	18-Mar-99
Fidelity	Euro Blue Chip Fd	971525	EUR	0.0525	12.040	12.040	12.672	18-Mar-99
Fidelity	European	988524	EUR	0.0525	12.080	12.080	12.714	18-Mar-99
Fidelity	European Growth	999131	EUR	0.0525	4.674	4.674	4.919	18-Mar-99
Fidelity	European Sm Cos F	974608	EUR	0.0525	11.360	11.360	11.956	18-Mar-99
Fidelity	Fid Premium Pflo Serv		GBP	0.0000	1.114	1.114	1.172	18-Mar-99
Fidelity	Fidelity Gestion		EUR	0.0000	9.029	9.029	9.503	18-Mar-99
Fidelity	Fidelity Gestion		EUR	0.0000	8.644	8.644	9.098	18-Mar-99
Fidelity	Fidelity Pfl Selector Glb		USD	0.0000	12.080	12.080	12.714	18-Mar-99
Fidelity	Fidelity Premium Pfl		USD	0.0000	11.930	11.930	12.556	18-Mar-99
Fidelity	France	971526	EUR	0.0525	23.330	23.330	24.555	18-Mar-99

FIG. 28A

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Fund Manager User Module - View Rates

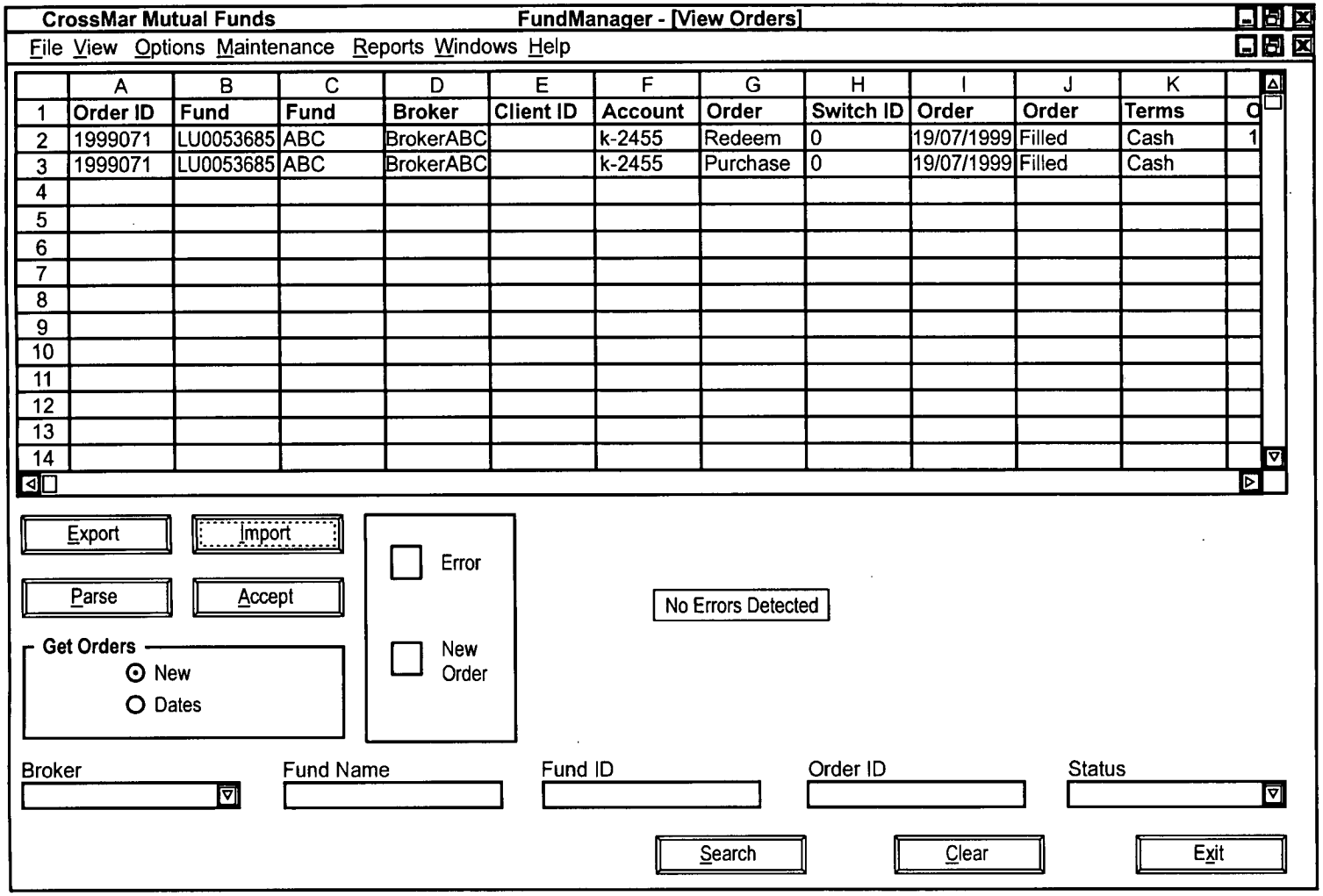


	Fund Name	Curre.	Bid Price	Offer	Price	NAV	Zwisch	Yield	Divid.	Perf
1	Fund Prices & Information for :		16/07/99							
2										
3			Bid	Offer	Price	NAV	Zwisch		Divid.	Perfo
4	Fund Name	Cmcy	Price	Price	Move	Per Share	qewinn	Yield	Rate	YTD
5										
6	American	USD	88.700	93.850	0.940	1530.500				
7	American Blue Chip	USD	10.780	11.400	0.090	10.400				
8	American Fledgeling	USD	95.010	100.520	0.630	300.000				
9	The New Fund	USD	88.170	92.580	0.790	917.790				
10	Asian Opportunities	USD	20.870	22.080	-0.190	263.200				
11	Balanced	EUR	7.200	7.630	0.000	28.800	0.110			
12	China	USD	12.060	12.760	-0.290	219.300				
13	Eastern European	EUR	14.460	15.300	-0.080	331.100				
14	Emerging European	USD	12.870	13.620	-0.070	65.000				
15	Emerging Markets	USD	9.560	10.120	0.030	111.000				
16	Emerging Markets Debt	USD	11.910	12.350	-0.010	49.700	1.300			
17	Euro Bond	EUR	5.990	6.210	-0.030	123.500	0.250	0.037		
18	Euro Equity	EUR	35.400	37.460	0.010	266.000				
19	European	EUR	33.380	35.320	0.070	242.400				
20	European High Yield Bond	EUR	5.280	5.480	-0.020	72.800	0.520			

FIG. 28B

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Fund Manager User Module - View Orders



	A	B	C	D	E	F	G	H	I	J	K	
1	Order ID	Fund	Fund	Broker	Client ID	Account	Order	Switch ID	Order	Order	Terms	C
2	1999071	LU0053685	ABC	BrokerABC		k-2455	Redeem	0	19/07/1999	Filled	Cash	1
3	1999071	LU0053685	ABC	BrokerABC		k-2455	Purchase	0	19/07/1999	Filled	Cash	
4												
5												
6												
7												
8												
9												
10												
11												
12												
13												
14												

FIG. 29A

Fund Manager User Module - View Orders

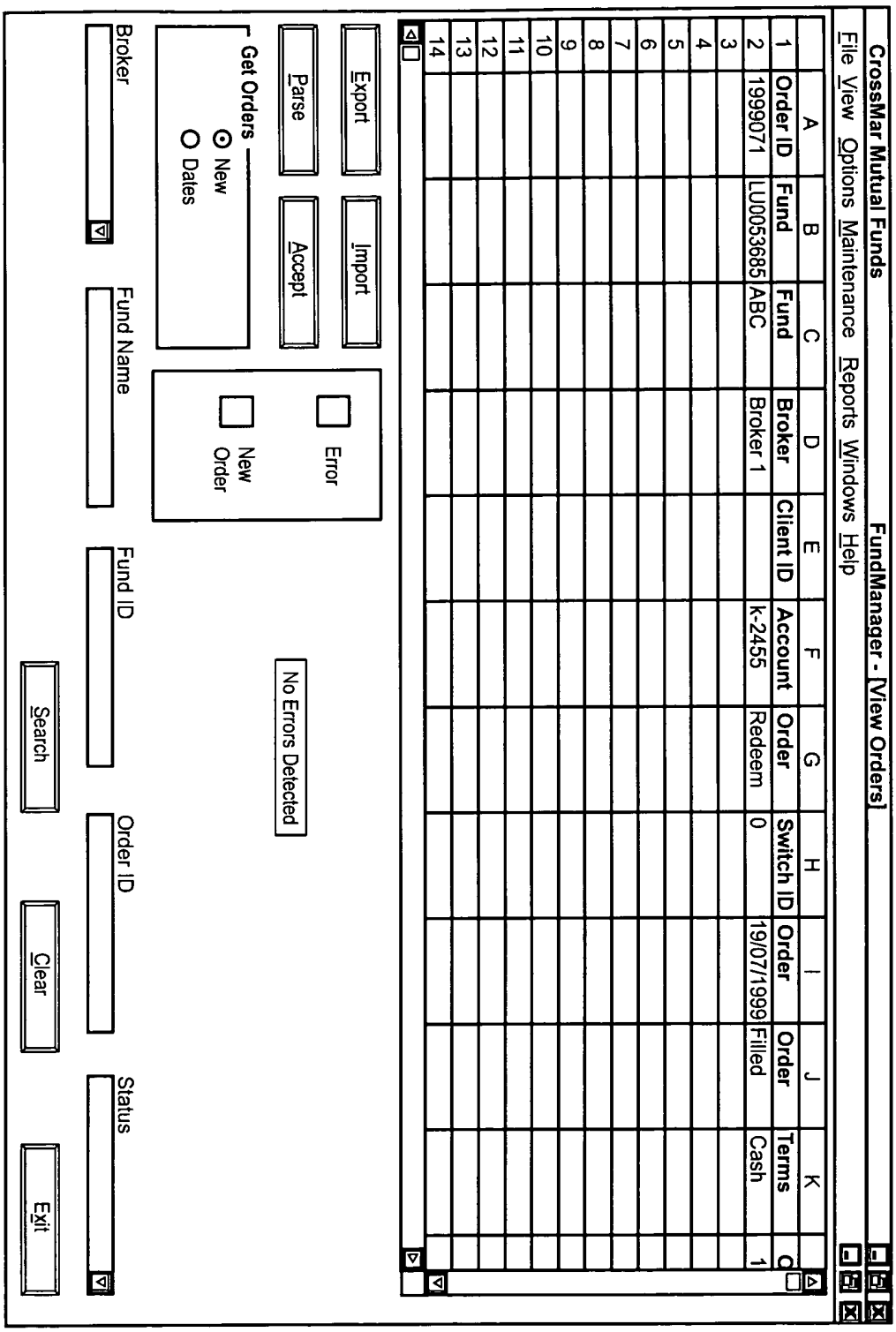


FIG. 29B

Fund Manager User Module - Sample Specification of Location of Download Files

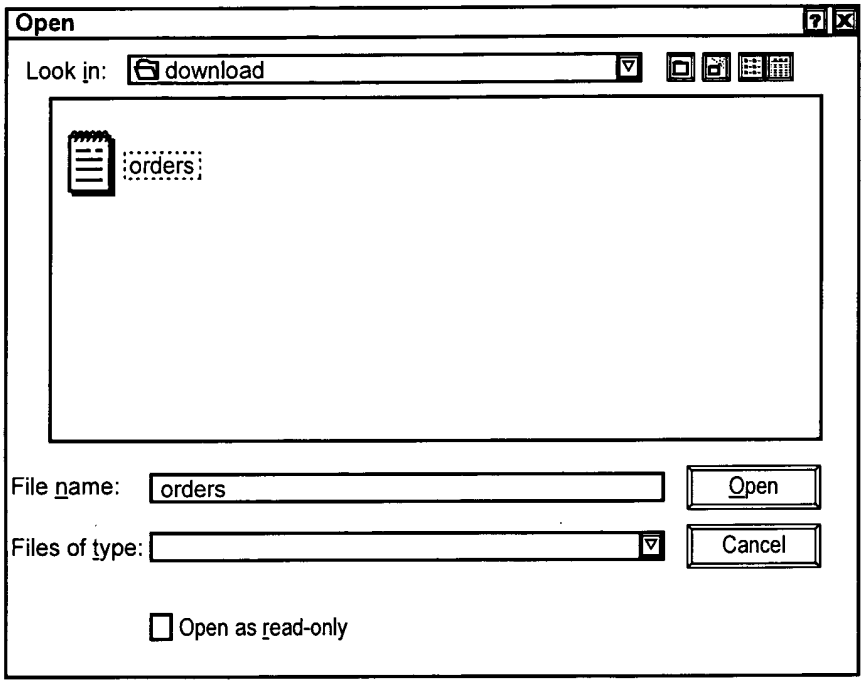
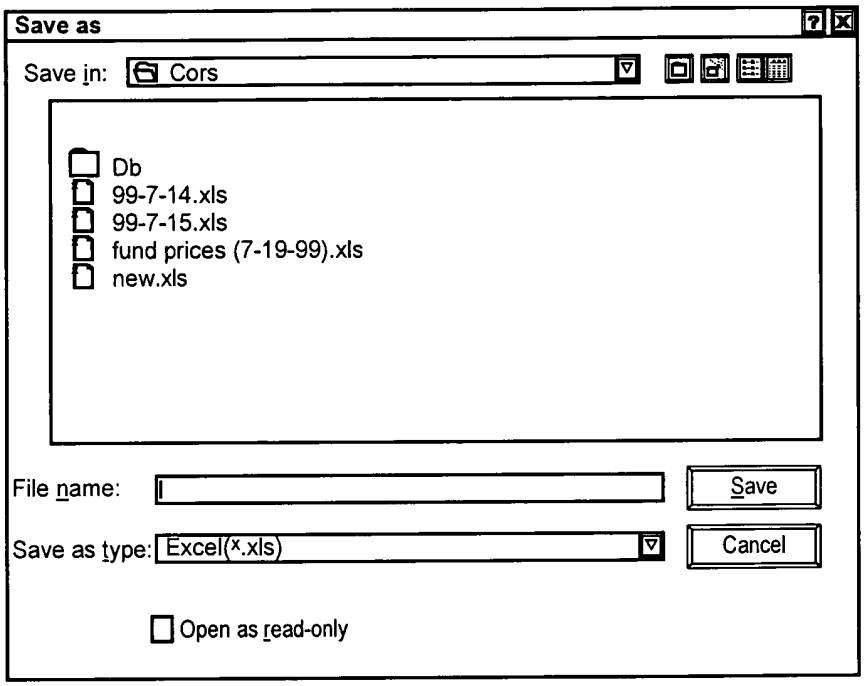


FIG. 30A

Fund Manager User Module - Sample Specification of Location of Download Files



Exporting order information to a user's local computer. The user must name the file and choose a location in which to store it.

FIG. 30B

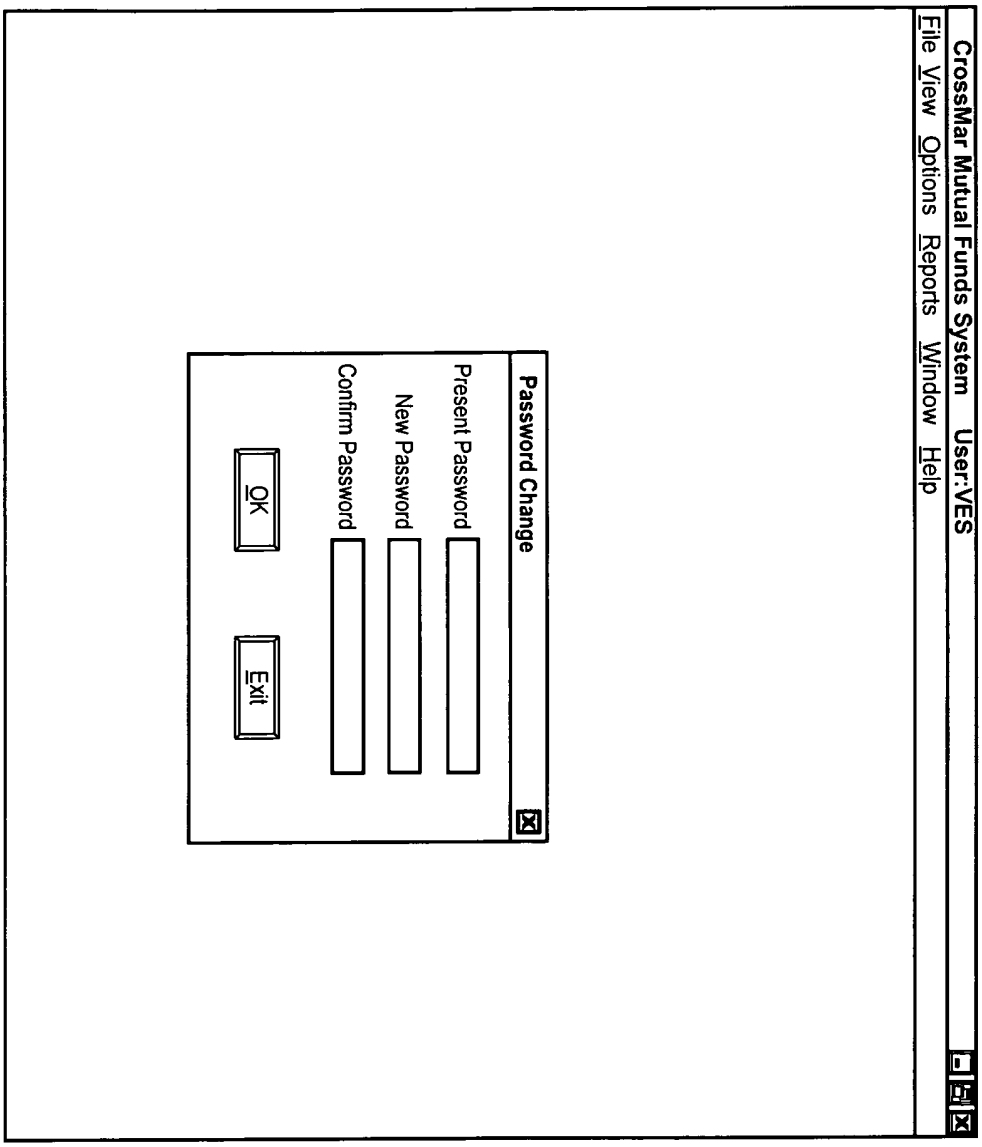

Fund Manager User Module - Change Password
CrossMar Mutual Funds System User:VES
File View Options Reports Window Help
Password Change
Present Password
New Password
Confirm Password
OK
Exit

FIG. 31

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List of Database Fields in the "View Order" User Modules

#	Field	Description	Always Present?	Sample Value
1.	Order ID	Order Transaction Reference number	Yes	ABC199907131000
2.	Fund Code	CEDEL, ISIN, or local code for fund	Yes	LU0072845869
3.	Fund Name	Fund name	Yes	XYZ Emerging Markets
4.	Broker Name	Broker Identifier	Yes	BBBrokerage
5.	Client ID	Client Identifier if client level order (Fund Manager's ID, not CrossMar's)	Yes, if 6=client acct.	Client48
6.	Account No	Broker Account number (nominee or client)	Yes	j-2756
7.	Order Type	Purchase, Redeem, Switch Purchase, Switch Redeem	Yes	Purchase
8.	Switch ID	Switch reference number: a unique numeric identifier linking the two sides of a switch.	Yes, if 7=Switch	3
9.	Order Date	Date the order was placed. After the daily cutoff time, new orders are dated as the next day.	N/A	July 7, 1999 12:00:00
10.	Order State	Pending, ReceivedFM, Cancel, ReceivedFM Cancel, Filled, Rejected, or Wait (only "Wait is manually input).	Yes	Pending
11.	Terms	Shares, Cash, Percentage	Yes	Cash
12.	Cash Amount	Amount of cash, if cash terms	Yes, if 11=Cash	150000
13.	Transaction Currency	Currency of cash, if cash terms	Yes, if 11=Cash	EUR
14.	Settlement Currency	Currency of settlement	Yes	USD
15.	Rounding	Up, Down, or Full+Fraction	Yes, if 11=Cash	Down
16.	Percentage	Percentage of holdings, if percentage terms (1)	Yes, if 11=Percentage	57
17.	No of Shares	Number of shares, if share terms	Yes, if 11=Shares	1800
18.	Settlement Type	Standard / Non-standard	Yes	Standard
19.	Bank	Bank name, if non-standard settlement	Yes, if 18=Non-standard	Bob's Big Bank
20.	City	City name, if non-standard settlement	Optional	Metropolis
21	Account	Bank account number, if non-standard settlement	Yes, if 18=Nonstandard	154562268
22.	Swift	Swift code, if non-standard settlement	Optional	87654321
23.	Dealing Terms	Standard/Reinvest/Special Promotion	Yes	Standard
24.	Reinv est Comm	All, 1%, or 2%	Yes, if 23=Reinvest	2%
25.*	FM Ref	Fund Manager Reference Number (optional)	Optional	1234568
26.*	NAV	Net asset value per share in fund currency	Yes	124
27.*	Total Funds	Total funds due/to be received in settlement currency per field 14	Yes	10000
28.*	Total Shares	Total number of shares to be purchased or redeemed	Yes	1776
29.*	FX Rate	Foreign exchange rate used to convert settlement amount based in fund currency to settlement currency	Optional	1.35
30.*	Zwischengewinn	Re- invested interest rate of the fund since its inception	Optional	0.11
31.*	Value Date	Date funds available, if applicable	Yes	13.10.1999
32.	Execution Date	Date uploaded into CORS	Yes	13.10.1999
33.	Execution Time	Time uploaded into CORS	Yes	17:34:49
34.*	Execution Price	Broker's price per share in fund currency	Yes	121.000
35.*	Commission	Commission due to the broker (optional)	Optional	0
36.*	Rejection Reason	Reason for rejecting, if rejected. Often: unrecognized account number, redemption is greater than holding, or insufficient funds	Yes, if 10=Rejected	Insufficient funds
37.*	Date Priced	Date of pricing information	Yes	13.10.1999
38.*	Time Priced	Time of pricing information	Yes	17:29:36
39.	Entry Time	Date/time order entered	Yes	13.07.99 17:29:36
40.	Enterer	User who entered the order	Yes	CORXYZ
41.	Accepted Time	Date/time order received by Fund Manager	Yes	13.07.99 17:34:49
42.	Accepter	User who received the order	Yes	CORALK
43.	Cancel Time	Date/time order cancelled	Yes	15.07.99 16:07:26
44.	Canceller	User who cancelled the order	Yes	CORS VK

* Indicates item will be filled in by the Fund Manager upon confirmation or rejection of the order.

Fig 32